

# ENHANCING BRIGADE COMBAT TEAM ADAPTABILITY

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degree

MASTER OF MILITARY ART AND SCIENCE  
General Studies

by

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

## ABSTRACT

ENHANCING BRIGADE COMBAT TEAM ADAPTABILITY, by Major Desmond V. Bailey, 206 pages.

Today's operational environment consists of uncertainty, chance, friction, and complexity. Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly. To effectively respond to the characteristics of the operational environment, Brigade Combat Teams must be able to learn constantly from experience (their own and others), and apply new knowledge to each situation. This requires Brigade Combat Teams to demonstrate organizational level adaptive behavior. Organizational adaptive behavior consists of three supporting emergent behaviors which are: self-organization, learning, and organizational intelligence. Each of these behaviors is interdependent upon the other; therefore, focusing on improving one behavior alone will not result in the emergence of organizational adaptive behavior. To enhance organizational adaptive behavior, leaders must understand the interrelationships of the supporting adaptive behaviors and organizational components; and implement an organizational strategy that aligns the organizational components of leadership, climate, culture, and structure in such a manner that enables the emergence of supporting adaptive behaviors. Additionally, leaders must be able to recognize and resolve barriers that prevent the emergence of supporting adaptive behaviors. It is through this understanding and practice that leaders can enhance their organizational adaptability.

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## ACRONYMS

AAR	After Action Review
BCT	Brigade Combat Team
COL	Army rank of Colonel
CPT	Army rank of Captain
DGDP	Directorate of Graduate Degree Programs
FSO	Full Spectrum Operations
GDP	Graduate Degree Programs
LTC	Army rank of Lieutenant Colonel
MAJ	Army rank of Major
OE	Operational environment
OEF	Operation Enduring Freedom
OIF	Operation Iraqi Freedom
SGA	Small Group Advisor
RFI	Request for Information
T/C/M	Teach, Coach and Mentor
TRADOC	US Army Training and Doctrine Command

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## CHAPTER 1

### INTRODUCTION

In order to develop true learning organizations the Army must study successful military and civilian examples. This study can better inform leaders on how to recognize and develop learning and adaptive organization.

— TRADOC Pamphlet 525-3-7-01

#### The Need for BCT Adaptability

“The Army has analytically looked at the future, and believes our Nation will continue to be engaged in an era of persistent conflict; a period of protracted confrontation among states, non-state, and individual actors increasingly willing to use violence to achieve their political and ideological ends (FM 3-0 2008, Foreword). The global operational environment, in which this persistent conflict will be waged, is complex, multidimensional, and increasingly fought among populations (FM 3-0 2008, Foreword). This complex environment requires Leaders that can adapt to an ever-changing environment (FM 3-0 2008, Foreword).

The ability to adapt has been a training focus for the US military for several years. In June 2004, the Office of the Deputy Under Secretary of Defense (Readiness) tasked the Institute for Defense Analysis (IDA) to conduct research that would assist in the development of a training and exercise environment, that would help prepare U.S. Forces to adapt to asymmetric [unconventional] threats (Burns and Freeman 2008, 1). This directive lead to the 2005 IDA report entitled “Learning to Adapt to Asymmetric Threats,” which surveyed all four military services and concluded that “of the four services, the Army is the most explicitly committed to developing adaptability-related skills in its service members” (Tillson et al. 2005, 23).

As of 2006, the Army defined adaptability as “an individual’s ability to recognize changes in the environment, identify the critical elements of the new situation, and trigger changes accordingly to meet new requirements” (FM 6-22 2006, 10-8). However, five years after the IDA study began, and four years after the Army published its definition of adaptability, several military leaders suggested that the US Army had not clearly defined the behavior of an adaptive leader or organization, nor defined how to train or develop this behavior in Soldiers, leaders and organizations.

In Colonel Steven A. Shapiro’s US Army War College strategy research project on “Soldier and Unit Adaptability,” he states, “it is left to individual units and schools to define adaptability and to educate accordingly with appropriate feedback” (2007). The conclusion Colonel Shapiro’s paper draws that “there is no directive roadmap that states what an adaptive Leader, Soldier or unit should look like” (2007).

In Colonel Douglas S. Mulbury’s US Army War College strategy research project on “Developing Adaptive Leaders, A Cultural Imperative” (2008), he states that “the Army though, only provides a partial definition of adaptive performance... It does not adequately define this complex behavior, nor address the training or educational strategies for senior leaders to develop it in others or units/organizations” (2008).

### The Need for New Ideas for Enhancing Adaptability

In December 2009, the US Army introduced a new term--operational adaptability --presented in “The Army Capstone Concept” (TRADOC 2009). The new term was presented as a topic for discussion and consideration among the Army’s top priorities for an “exchange of ideas” (TRADOC 2009, Foreword). The pamphlet described operational adaptability as “requiring a mindset based on flexibility of thought calling for leaders at

all levels who are comfortable with collaborative planning and decentralized execution, have a tolerance for ambiguity, and possess the ability and willingness to make rapid adjustments according to the situation” (TRADOC 2009, i). The pamphlet further described this ability as a “quality that Army leaders and forces exhibit based on critical thinking, comfort with ambiguity and decentralization, a willingness to accept prudent risk, and an ability to make rapid adjustments based on a continuous assessment of the situation” (TRADOC 2009, 16). According to the pamphlet, “accomplishing challenging missions and responding to a broad range of adaptive threats under conditions of uncertainty will require Army forces that exhibit a high degree of operational adaptability” (TRADOC 2009, i).

#### Army Forces Required to Exhibit Adaptability

Brigade Combat Teams (BCT) “are the Army’s basic tactical maneuver units and the smallest combined arms units that can be committed independently” (FM 3-90.6 2006, 2-1). Presently there is a pressing need for BCTs to exhibit adaptability in the Operational Training Domain where “commanders face two training challenges; preparing their units for the most likely missions, and developing the skills needed to adapt quickly and easily to operations anywhere across the spectrum of conflict” (FM 7-0 2008,1-7). This spectrum of conflict “spans from stable peace to general war” (FM 3-0 2008, 2-1), and presents BCTs with a myriad of environments and tactical tasks they must be prepared to execute (FM 3-0 2008). Deployed BCTs currently operate in environments “shaped by multiple factors; science and technology, information technology, transportation technology, the acceleration of the global economic community, and the rise of a networked society; the current complexity of the operational

environment guarantees that future operations will occur across the spectrum of conflict” (FM 7-0 2008, 1-1).

From the researcher’s experience as a Company Commander, Battalion and Brigade Operations Officer for a BCT; training in the Operational Training Domain to accomplish tasks along the spectrum of conflict requires a considerable amount of knowledge, time, and resources. To illustrate the challenge of the current environmental complexity, figure 1 and figure 2 depict the Spectrum of Conflict and the Full Spectrum of Operations a BCT must be prepared to execute while deployed.

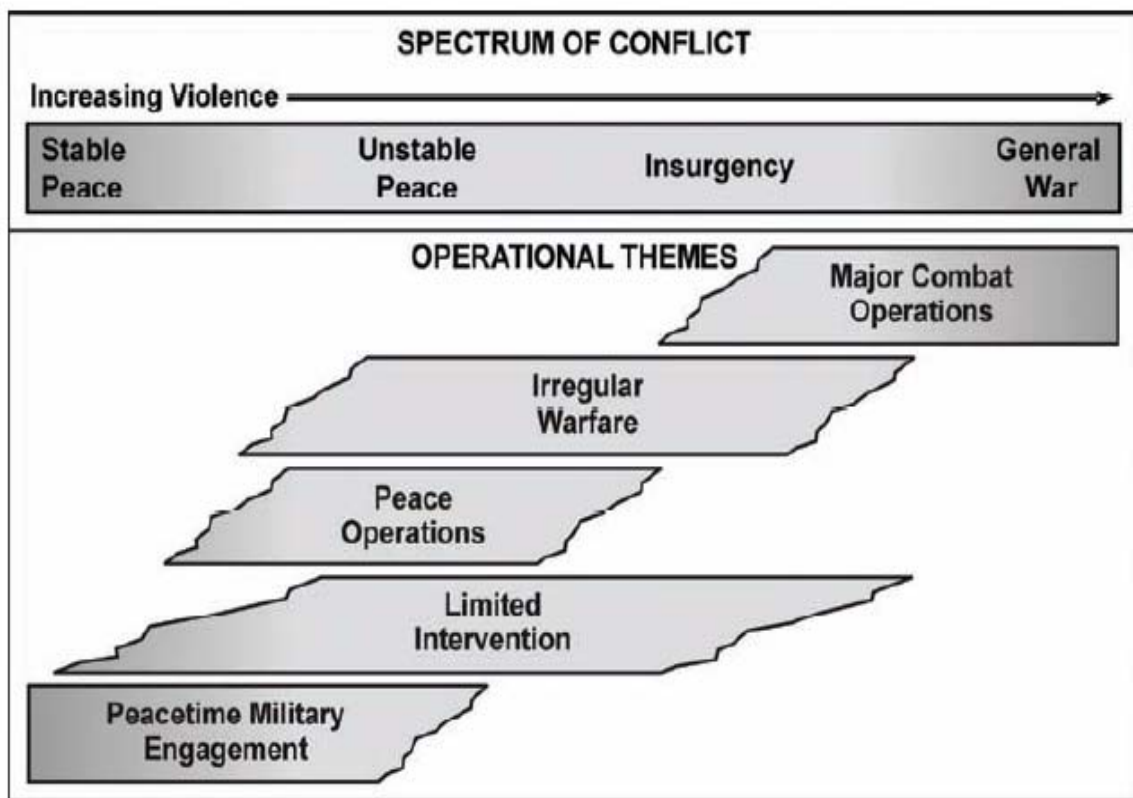


Figure 1. The Spectrum of Conflict

Source: Department of the Army, Field Manual (FM) 3-0, *Operations* (Washington, DC: Government Printing Office, 2008), 2-5.



<p style="text-align: center;"><b><i>Offensive Operations</i></b></p> <p><b>Primary Tasks</b></p> <ul style="list-style-type: none"> <li>• Movement to contact</li> <li>• Attack</li> <li>• Exploitation</li> <li>• Pursuit</li> </ul> <p><b>Purposes</b></p> <ul style="list-style-type: none"> <li>• Dislocate, isolate, disrupt, and destroy enemy forces</li> <li>• Seize key terrain</li> <li>• Deprive the enemy of resources</li> <li>• Develop intelligence</li> <li>• Deceive and divert the enemy</li> <li>• Create a secure environment for stability operations</li> </ul>	<p style="text-align: center;"><b><i>Defensive Operations</i></b></p> <p><b>Primary Tasks</b></p> <ul style="list-style-type: none"> <li>• Mobile defense</li> <li>• Area defense</li> <li>• Retrograde</li> </ul> <p><b>Purposes</b></p> <ul style="list-style-type: none"> <li>• Deter or defeat enemy offensive operations</li> <li>• Gain time</li> <li>• Achieve economy of force</li> <li>• Retain key terrain</li> <li>• Protect the populace, critical assets, and infrastructure</li> <li>• Develop intelligence</li> </ul>
<p style="text-align: center;"><b><i>Stability Operations</i></b></p> <p><b>Primary Tasks</b></p> <ul style="list-style-type: none"> <li>• Civil security</li> <li>• Civil control</li> <li>• Restore essential services</li> <li>• Support to governance</li> <li>• Support to economic and infrastructure development</li> </ul> <p><b>Purposes</b></p> <ul style="list-style-type: none"> <li>• Provide a secure environment</li> <li>• Secure land areas</li> <li>• Meet the critical needs of the populace</li> <li>• Gain support for host-nation government</li> <li>• Shape the environment for interagency and host-nation success</li> </ul>	<p style="text-align: center;"><b><i>Civil Support Operations</i></b></p> <p><b>Primary Tasks</b></p> <ul style="list-style-type: none"> <li>• Provide support in response to disaster or terrorist attack</li> <li>• Support civil law enforcement</li> <li>• Provide other support as required</li> </ul> <p><b>Purposes</b></p> <ul style="list-style-type: none"> <li>• Save lives</li> <li>• Restore essential services</li> <li>• Maintain or restore law and order</li> <li>• Protect infrastructure and property</li> <li>• Maintain or restore local government</li> <li>• Shape the environment for interagency success</li> </ul>

Figure 2. Full Spectrum Operations

*Source:* Department of the Army, Field Manual (FM) 3-0, *Operations* (Washington, DC: Government Printing Office, 2008), 3-7.

Additionally, it has been the experience of the researcher that before deployment, BCTs face numerous challenges as they field and train on new equipment, receive new Soldiers and leaders, and train for complex and uncertain environments. Additionally, a pre-deployment BCT will experience competing demands for time, related to training individuals and units in live-fire exercises, and resources related to training ammunition and ranges. It has been the experience of the researcher that these factors influence the

development of the BCT pre-deployment training plan, which drives the training focus, resource allocation, and training time for each task to be trained. It was common for a BCT to be notified of its future area of operation, specific mission and requirements six to eight months prior to the deployment. This new information could require a BCT to rapidly change its organizational structure, receive new or additional personnel and equipment, and implement a new training program; increasing the number of tasks to be trained and reducing the time available for training. As suggested by The Army Capstone Concept, to “boost future success in this environment of complexity, uncertainty and rapid change, BCTs would best be served by honing their adaptability” (TRADOC 2009, i).

#### Primary and Secondary Research Questions

Given the requirement for Soldiers and leaders to adapt, and BCTs to hone their operational adaptability, what is the meaning of adaptability? Has the US Army effectively described adaptive behavior and defined adaptability? Is individual adaptability the same as organizational adaptability? What is the structure of an organization that is adaptive; what does it look like? How can BCTs enhance, or achieve a high degree of operational adaptability while training in the US Army Operational Training Domain?

To discover the answers to these questions, this study explored select private industry and military literature, and conducted interviews with BCT leaders with an aim to discover more effective descriptions of adaptive behavior, and strategies and practices that could be used to hone BCT adaptability. To focus the study, the previous questions were reframed into the following primary and secondary questions:

Primary research question: How can BCT leaders enhance organizational adaptability in the Army Operational Training Domain?

Secondary questions:

1. How do private industry, the Army, and BCT leaders define an adaptive organization?
2. Which strategies and practices recommended by private industry, the Army, and BCT leaders could be employed to enhance BCT adaptability?
3. What factors identified by private industry, the US Army, and BCT leaders could prevent or disrupt efforts to enhance BCT adaptability?
4. What do private industry, the US Army, and BCT leaders suggest is the Leader's role in enhancing organizational adaptability?

### Scope

This study reviewed private industry, Army and BCT Leader strategies and practices identified by the research sources and researcher as being applicable to enhancing (honing) organizational adaptability. Specific areas of focus for this study were:

1. Describing adaptive behavior.
2. Defining adaptability.
3. Identifying strategies and practices that are applicable to BCTs and their subordinate organizations.
4. Identifying factors that prevent adaptability.
5. Identifying the leader's role in enhancing organizational adaptability.

### Limitations

The primary research material used for this study was explored during the past eight months which presented a limited number of opportunities to collect data to support answering the research questions. Overall, the limitations resulted in a limited scope but purposeful sample of both private industry and Army literature and BCT leaders.

### Delineations

The focus of this study was to review private industry and Army literature, and BCT Leader strategies and practices applicable to enhancing BCT adaptability within the Army Operational Training Domain. This study did not examine applications for enhancing adaptability in the US Army Institutional Training Domain.

### Assumptions

1. Practices used to enhance adaptability will work for all BCTs regardless of the BCT type (Heavy, Stryker, and Infantry).
2. Army doctrine does not effectively describe adaptive behavior.
3. Private industry offers strategies and practices for enhancing/honing organizational adaptability that could be applicable to BCTs training in the Army Operational Training Domain.

### Definitions

Key terms relevant to this study were:

After Action Review (AAR). “The after action review is a method of providing feedback to organizations by involving participants in the training diagnostic process in order to increase and reinforce learning” (FM 7-0 2008, 4-39).

Analysis. “Separation of a whole into its component parts; an examination of a complex system, its elements, and their relations; a philosophical method of resolving complex expressions into simpler or more basic ones; clarification of an expression by an elucidation of its use in discourse” (merriam-webster).

Army Institutional Training Domain. “the Army’s institutional training and education system, which primarily includes training base centers and schools that provide initial training and subsequent professional military education for Soldiers, military leaders, and Army civilians” (FM 7-0 2008, 3-6).

Army Operational Training Domain. “The training activities organizations undertake while at home station, at maneuver combat training centers, during joint exercises, at mobilization centers, and while operationally deployed” (FM 7-0 2008, G-4).

Behavior. “The manner of conducting oneself; anything that an organism does involving action and response to stimulation; the response of an individual, group, or species to its environment” (merriam-webster).

Brigade Combat Team. “The modular BCTs are the Army’s basic instrument of tactical execution for implementing this concept. There are three distinct types of BCTs: Heavy Brigade-Armor and Mechanized Infantry, Infantry Brigade-Light, Airborne, Air Assault and Stryker Brigade-Stryker mounted Infantry” (FM 3-90.6 2006).

Detailed command. “Stems from the belief that success in battle comes from imposing order and certainty on the battlefield. A commander who practices detailed command seeks to accomplish this by creating a powerful, efficient C2 system able to process huge amounts of information, and by attempting to reduce nearly all unknowns to

certainty. Detailed command centralizes information and decision-making authority. Orders and plans are detailed and explicit, and successful execution depends” (FM 6-0 2003, 1-16).

Full Spectrum Operations. “The Army’s operational concept: Army forces combine offensive, defensive, and stability or civil support operations simultaneously as part of an interdependent joint force to seize, retain, and exploit the initiative, accepting prudent risk to create opportunities to achieve decisive results” (FM 3-0 2008, G-7).

Leadership. “The process of influencing people by providing purpose, direction, and motivation while operating to accomplish the mission and improving the organization” (FM 6-22 2006, 1-2).

Mission Command. “The conduct of military operations through decentralized execution based on mission orders for effective mission accomplishment. Successful mission command results from subordinate leaders at all echelons exercising disciplined initiative within the commander’s intent to accomplish missions. It requires an environment of trust and mutual understanding” (FM 6-0 2003, 1-17).

Operational Environment. “A composite of the conditions, circumstances, and influences that affect the employment of capabilities and bear on the decisions of the commander” (FM 3-0 2008, 1-1).

Phenomenology. “The descriptive study of how individuals experience a phenomenon” (South Alabama University).

Phenomenon. “Observable fact or event; an object or aspect known through the senses rather than by thought or intuition; a fact or event of scientific interest susceptible to scientific description and explanation” (merriam-webster).

Synthesis. “Composition or combination of parts or elements so as to form a whole; the combining of often diverse conceptions into a coherent whole” (merriam-webster).

Unit. “Any military element whose structure is prescribed by competent authority, such as a table of organization and equipment; specifically, part of an organization” (FM 1-02 2006, 1-94).

### Summary

Today’s operational environment consists of “uncertainty, chance, friction, and complexity” (FM 3-0 2008, 1-16). “Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly” (FM 7-0 2008, 1-5). In response to these operational environment characteristics, Brigade Combat Teams; the Army’s basic tactical maneuver units; must be able to “learn constantly from experience (their own and others) and apply new knowledge to each situation” (FM 7-0 2008, 1-5). Additionally, BCTs must be able to balance the skills of “expeditionary agility and responsiveness with physical endurance and adaptability” (FM 3-0 2008, 1-17).

The purpose of this study was to support the requirement for BCTs and their subordinate organizations to adapt to the operational environment. The aim of this study was to discover strategies and practices that could be implemented by BCT leaders to enhance their organizational adaptability. This discovery was accomplished by exploring contemporary private industry and Army literature; interviewing current and former BCT leaders; and utilizing the researcher’s BCT experience to gain insight into the essence, meaning, and practices of fostering adaptive behavior within an organization.

Chapter 2 summarizes the private industry and military literature reviewed for the purpose of this study. Chapter 3 describes the methodology employed to answer the primary and secondary research questions. Chapter 4 presents analysis of data collected from the literature review and BCT leader interviews relevant to the research questions. Chapter 5 answers the primary and secondary research questions, and present discovered strategies and practices that could be employed to enhance BCT adaptability, provide recommendations for changes to Army doctrine, and address recommended areas for future study.



## CHAPTER 2

### LITERATURE REVIEW

#### Introduction

Today's operational environment consists of "uncertainty, chance, friction, and complexity" (FM 3-0 2008, 1-16). "Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly" (FM 7-0 2008, 1-5). In response to these operational environment characteristics, Brigade Combat Teams; the Army's basic tactical maneuver units; must be able to "learn constantly from experience (their own and others) and apply new knowledge to each situation" (FM 7-0 2008, 1-5). Additionally, BCTs must be able to balance the skills of "expeditionary agility and responsiveness with physical endurance and adaptability" (FM 3-0 2008, 1-17).

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The literature review for this study presents the discovered definitions of adaptability; the phenomena associated with adaptive behavior; the science associated with adaptive behavior; contemporary strategies and practices from private industry and

military literature and suggested characteristics and capabilities of adaptive organizations.

The chapter is organized as follows:

1. Literature themes associated with organizational adaptability.
2. Forms and definitions of adapt.
3. Phenomena associated with adaptive behavior.
4. Theories associated with adaptive behavior.
5. Strategies for enhancing adaptive behavior.
6. Practices for enhancing adaptive behavior.
7. Private industry and Army characteristics of adaptive behavior.
8. Chapter summary.

#### Literature Themes Associated with Organizational Adaptability

A tour of the Management and Leadership section at any bookstore yields numerous resources about creating or enhancing adaptive organizations. What the researcher learned during the literature review process for this study was that using the term adaptive as the primary search term actually limited search results. Throughout the literature review process for this study, many terms were found to describe adapt including learning, collaborative, interconnectedness, networks, complexity, emergent phenomenon, systems, agility, transformation, leadership, and culture. To complete the literature review, a search for common ground among the various forms of the word adapt was essential to grasp the holistic process of enhancing adaptive behavior at the organizational level, because the voluminous amount of information and theories that exists could have been overwhelming. It was found that many authors advocated strategies and practices for improving organizational performance in response to the

organization's external environment; however, to complete this study within the time available, four private industry and four military literature works were selected. Criterion for literature source selection, and the sources selected are described and identified in chapter 3.

### Forms and Definitions of Adapt

#### Adapt

The definition of the term “adapt,” is “to make suitable to requirements or conditions; adjust or modify fittingly” (dictionary). As the definition implies; adapt is the result or outcome of an action. The terms adjust and modify are associated with actions and/or processes.

#### Adaptability

Adaptability is the ability to adapt. The Institute for Defense Analysis defines adaptability as “the degree to which adjustments are possible in practices, processes, or structures of systems to projected or actual changes of situation” (Tillson 2005, S-1). The phrase “adjustments are possible” implies that the organization must possess the ability to make changes to organizational practices, processes, or structures of systems. The U.S. Army defines individual adaptability as “an effective change in behavior in response to an altered situation; adaptability is an individual's ability to recognize changes in the environment, identify the critical elements of the new situation, and trigger changes accordingly to meet new requirements” (FM 6-22 2006, 10-8).

## Adaptation

The process of applying adaptability in order to adapt to various situations is referred to as “adaptation.” Cameron defines “organizational adaptation” as a “process, not an event that results in modifications and alterations in the organization in order to adjust to changes in the environment” (1984, 123). This process “may be responsive, internally adjusting to external forces, or it may be proactive, internally changing so that it can influence the external environment” (Bennet 2004, 290).

## Adaptive

Adaptive is defined as “serving or able to adapt; showing or contributing to adaptation” (dictionary). Adaptable is defined as “able to adjust oneself readily to different conditions” (dictionary). Being adaptive “implies that an organization and its subcomponents are capable of studying and analyzing the environment and taking actions that internally adjust the organization and externally influence the environment in a manner that allows the organization to fulfill local and higher-level goals” (Bennet 2004, 26). The later definition adds the terms studying, analyzing and influence which implied that to adapt was not merely a reaction, but could also be proactive by anticipating and taking action to influence the environment.

When summarized in sequence, the forms of the term adapt provide a comprehensive description of the behaviors associated with adapting to the environment; as the following sequencing of terms demonstrates: in order to adapt (the BCT requirement to respond to and influence the environment); an organization must demonstrate adaptability (possess the necessary capabilities required to enable adaptation such as flexibility, agility, innovation, and external focus); in order to execute adaptation

(making adjustments or modifications to organizational practices, processes, structures of systems, individual behavior and ways of thinking) to become adaptive (the defining characteristic of the organization's capabilities and processes employed to successfully adapt to the environment, internal and/or external, and potentially influence the external environment to achieve desired outcomes).

### Phenomena Associated with Adaptive Behavior

The researcher discovered three types of phenomena associated with adaptive behavior, which were:

1. Self-organization
2. Learning
3. Intelligence

#### Self-organization

Self-organization occurs when individuals within a system or organization establish relationships and form groups in order to accomplish tasks or goals (Bennet 2004, 291). It was suggested that this specific behavior was the result of individual "choice" (Gharajedaghi 2006, 20), such as when "informal networks arise" (FM 6-22 2006, 3-9). According to Bennet, Johnson, and Gharajedaghi, this behavior is a natural occurrence that could result in either productive or counterproductive behavior. Within an organization, the collective actions of self-organization could result in emergent global behaviors; and those behaviors could be used by BCT leaders to identify the organization's cultural characteristics and potential adaptability (Bennet 2004; Johnson 2001; Gharajedaghi 2006).

When individuals self-organize “they often take on the same characteristics as formally designed organizations” (FM 6-22 2006, 3-9); which suggests that groups could establish internal structures and norms. Gharajedaghi suggested that these characteristics emerge from “a history or identity to the system [group/team/organization]” and consists of “language, meaning, ways of thinking and reasoning, values, beliefs and social contracts” (2006, 122). In essence, a culture emerges. It further suggests that culture serves as an organizational memory, and could influence self-organization, and individual and group learning through the exchange of ideas, knowledge and experiences (Johnson 2001, 109). However, this cultural memory and learned behavior could result in “a tendency [of the culture to move] toward a predefined order”; which may or may not be suitable to the environment (Gharajedaghi 2006, 125). According to Gharajedaghi, to change an undesirable predefined order requires changing the culture’s perspective (2006, 125).

Bennet suggested that in order for self-organization to be effective, individuals must “have a clear understanding of the direction and purpose of the overall organization” (2004, 62) and “must operate within rules and boundary conditions whose nature depends on the unit, organization and immediate environment” (Bennet 2004, 62). Gharajedaghi further suggested that individuals within the organization must be able to “change the rules of interaction [which could enable the organization] to co-evolve with the external environment” (2006, 123). It must be noted here that Gharajedaghi suggested that an organization does not simply adapt, but undergoes a continuous, iterative, learning processes of adaptation; hence his use of the term co-evolve under the topic of self-organization.

When the cultural behavior influences the behaviors of individuals in a positive manner, self-organization could result in “innovation and rapid response” (Bennet 2004, 62), “provided individuals are free to organize themselves to better achieve their local objectives” (Bennet 2004, 291), and “possess the innate ability to recreate themselves in new forms in order to deal with new information” (Bennet 2004, 291). Johnson suggested that “there is great creative energy in self-organization, but it must be channeled into specific forms in order to exhibit intelligent behavior” (2001, 119). Additionally, he suggested that in order to exhibit intelligent behavior and self-organize effectively, individuals and groups must learn (Johnson 2001).

### Learning

Learning is defined as “knowledge or skill acquired by instruction or study; modification of a behavioral tendency by experience” (merriam-webster). Bennet suggests that organizational learning is the creation and acquisition of potential and actual ability to take effective action” (2004, 249); and could “generate a social synergy that creates a global knowledge” (2004, 251), which could improve the organization’s overall performance (2004, 249). Senge suggested that the creation of global knowledge “builds capacity for effective action” (2006, 364). Additionally, Gharajedaghi suggests that “learning results from being surprised: detecting a mismatch between what was expected to happen and what actually occurred; and then being able to do things in a way that avoids a mismatch in the future” (2006, 74). Army doctrine published a similar description, which reflects both reactive and proactive aspects of learning; “based on their experiences, learning organizations adopt new techniques and procedures that get the job done more efficiently or effectively” (FM 6-22 2006, 8-2).

Whether reactive or proactive, organizational learning was described as a “collective process dependent upon relationships and interactions among individuals” (Bennet 2004, 251). It was suggested that organizational or collective learning was “not the sum of the learning capacity of each member” (Gharajedaghi 2006, 87), but the sum of, or the collective capacity of, learning by the “group or entire organization” (Bennet 2004, 250). Johnson described the process of learning as “being aware of information” (2001, 103); knowing where to store and retrieve information; and “being able to recognize and respond to changing patterns” (2001, 103). He further suggests that this capacity could enable the organization to “alter its behavior in response to changing patterns that make the organization more successful at whatever goal it’s pursuing” (Johnson 2001, 104); which suggests that having the organizational capacity to learn could enhance adaptability.

Several sources described two levels of learning. The Level I learning reflects “what the learner can do; results” (Senge 2006, 284); and the second level which was “about developing a capacity to reliably produce a certain quality of results; this capacity grows over time” (2006, 284). It was suggested that Level II learning or “deep learning” (Senge 2006, 284) involves “challenging assumptions” (Gharajedaghi 2006, 87), which could “redefine the rules for first-order learning and enable orderly adaptation” (2006, 87). It was suggested that “deep learning creates knowledge through study, reflection, assimilation, practice and simply living with the subject” (Bennet 2004, 250). Deep learning was described as essentially “a participative process resulting in orderly transformation” (Gharajedaghi 2006, 87).



Several sources suggested that enhancing first and second order learning required the use of feedback. According to Johnson, feedback is essentially a “two-way” (2001, 120) connection that could foster higher-level learning (2001, 120). Army doctrine suggests that “feedback helps all individuals learn; it allows them to reflect on what they did and how they can improve future performance” (FM 7-0 2008, 2-13).

The terms single and double loop feedback were commonly used by sources to provide explanations for how learning occurs. Single loop feedback was described as “mistakes detected are corrected by changing the individual’s actions” (Bennet 2004, 251). Double loop feedback “occurs when mistakes are corrected by changing the individual’s actions and subsequently questioning underlying assumptions, beliefs, norms, procedures, policies, and objectives” (Bennet 2004, 251). The importance of feedback, according to Senge was that it assists individuals and teams with “learning to recognize types of structures that recur again and again” (2006, 73). It was suggested that the ability to recognize patterns and trends could “enable the organization to understand which ones were important for organizational survival; and which ones need to be changed” (Bennet, 2004, 251). Feedback could assist the organization with either proactive or reactive response to changes in the environment.

To enhance the capacity to learn, Bennet suggests that a sharing of “language, meaning, objectives and standards” (2004, 251) was required; and that learning must become a “core competency” (2004, 251) of the culture to be effective (2004, 251). Senge explains that dialogue and discussion are required for “continual generative learning” (2006, 223) and “action and reflection provide greater perspectives” about issues and events relevant to the organization. Army doctrine described the After Action

Review (AAR) process as a means of feedback that could enhance organizational performance by enabling “self-discovery to assist subordinates in understanding how and why actions unfold as they do and to determine future steps to avoid the same mistakes or repeat successes” (FM 7-0 2008, 2-13).

It was proposed that when a culture embraces learning as a core competency, the capacity to learn could be “exemplified by innovation, collaboration and cultural shifts” (Bennet 2004, 250); a greater ability to “sense and act locally” (Senge 2006, 365); more effective self-organization (Gharajedaghi 2006, 87); and a greater awareness of patterns and change in the environment (Johnson 2001, 103); all of which are capabilities required by BCTs. Additionally, these capabilities are required by the culture in order to enhance organizational intelligence.

### Organizational Intelligence

Organizational intelligence was described as “the capacity for reasoning and understanding” (Bennet 2004, 37). Supported by self-organization and learning, it was indicated that this behavior could enable an organization to “perceive, interpret and respond” (Bennet 2004, 38) to the environment. Additionally, organizational intelligence could provide the organization with “the advantages of innovation, learning, adaptation and quick responses to new and trying situations” (Bennet 2004, 26).

Army doctrine described similar capabilities on an individual level, which was referred to as leader intelligence. According to Army doctrine, leader intelligence “draws on the mental tendencies and resources that shape conceptual abilities” (FM 6-22,) and could enable sound judgment, creative thinking, and reasoning (2006, 6-1).

In essence, as Bennet proposes, “organizational intelligence was the capability of “individuals within the organization to take information received and create knowledge through collaboration, and respond to the environment” (Bennet 2004, 26). For this behavior to be effective at an organizational level, Johnson suggests that the individuals within the system require “connectedness, structure, and organization” (2001, 117).

### Adaptive Behavior

If an organization demonstrates effective self-organization, learning and organizational intelligence, then the organization could essentially exhibit adaptive behavior (Bennet 2004; Johnson 2001). Adaptive behavior was best described as an organization that “uses local rules between interacting agents to create a higher-level behavior well suited to its environment” (Johnson, 2001, 20). Essentially, self-organization, learning, and intelligence are the capabilities required for an organization to be adaptive.

### Theories Associated with Adaptive Behavior

Complexity, emergence, systems, and organizational theories were the most common theories associated with adaptive behaviors. An understanding of each term enabled the researcher to translate methods that supported the theory that behaviors could emerge from individual interactions. Additionally, when reviewing the theories, several strategies and practices were mentioned as being useful for influencing adaptive behavior in individuals and organizations.

### Complexity Theory

Complexity theory was defined as “the study of complex and chaotic systems and how order, pattern, and structure can arise from them” (dictionary). According to Bennet organizations are complex systems (2004); which suggests that an organization is a system with “multiple agents interacting in multiple ways, following local rules” (Johnson 2001, 19). A similar behavior associated with the phenomenon of self-organization was detected that suggests the interactions between the agents within the system, or organization, could produce a macro-behavior which exhibits order, patterns and structure; and when this occurs, “the macro-behavior was considered emergent behavior” (Johnson 2001, 19).

### Emergence Theory

The action of an organization exhibiting a macro-level behavior was defined as emergence (Johnson 2001). Emergent behavior, or behavioral patterns that are observed, were also considered to be phenomena; “an observable fact or event” ([www.merriam-webster.com/dictionary/phenomenon](http://www.merriam-webster.com/dictionary/phenomenon)). An understanding of emergent phenomena could enable leaders to recognize specific behaviors within their organizations to determine their capability to adapt (Bennet 2004; Senge 2006). Additionally, several sources suggested that emergent behavior could be influenced; but this required an understanding of systems theory (Bennet 2004; Johnson 2001; Senge 2006).

### Systems Theory

Systems theory could enable leaders to identify and understand the complex structures and relationships that exist throughout their organization and the external

environment (Bennet 2004, 287; Senge 2006, 68). Specifically, Bennet explained that an understanding of systems theory could provide leaders with ways to identify organizational “inputs, outputs, boundaries, structures, emergent behaviors, stakeholders, key relationships and major dependencies” (2004, 284); all of which were considered capable of influencing individual and macro-level behavior (Johnson 2001). Senge advised that systems thinking was required to effectively implement changes to the organization’s social structures, guiding vision and organizational structures; as these were the elements of the organization that influenced behavior, and thus were the leverage points for changing behavior (2006, 286).

A discussion of systems theory was too broad of a topic to summarize in the literature review. However, it is important to note that Bennet, Senge, and Gharajedaghi incorporated systems diagrams as tools for leaders to illustrate the interrelationships between people within and outside the organization; organizational processes and procedures; and how each influences the other. Additionally, each of the private industry sources reviewed employed a concept referred to as network analysis. According to Bennet, network analysis assists leaders with “mapping the relationships among people and teams” (2004, 335), and was an effective tool for “assessing the flow of information through communication and collaboration” (2004, 335). Essentially, systems thinking and network analysis enable leaders to identify gaps in communication within and external to the organization, facilitate the creation of more effective connections between individuals, and identify sources of friction between individuals and elements of the social and physical organizational structures. To gain an understanding of which

organizational systems and structures could be used to influence adaptive behavior, the researcher explored organizational theory.

### Organizational Theory

Organizational theory supported an understanding of the internal components of an organization that could be used to influence organizational behavior. Taft listed four components of an organization as being “structure, tasks, systems, and culture” (2007, 28). Other sources listed structure and culture as components as well, but also added “strategy” and “leadership” (Bennet 2004, 186; Senge 2006, 284). Army doctrine listed information systems, operating procedures, command and control structures, culture and climate as organizational components (FM 6-0 2003; FM 6-22 2006). The most common components of an organization were structure (physical), culture (social structures included), climate and leadership. Strategy was considered as being a course of action implemented to influence the organizational components (Bennet 2004; Senge 2006). In the following paragraphs describe each organizational component in detail.

### Structure

The combined elements and systems associated with the structure of an organization collected from the literature review were: the chain of command or hierarchy; decision making authority; areas of responsibility and accountability; staff structure; roles (formal); technology (such as information and knowledge management systems); facilities (types and space available); policies and procedures; problem solving and decision making processes; assessment and measurement practices; resource

management systems; accepted norms; established networks and teams (Bennet 2004, 90-96; Senge 2006, 285-287; FM 3-24 2008, 1-19–1-20; FM 6-22 2006, 3-1, 3-12).

Bennet and Senge suggest that the importance of organizational structures was that these elements focused organizational effort by controlling resources and influencing the behavior of individuals within the organization by controlling the way in which tasks were accomplished (Bennet 2004, 77; Senge 2006, 286). Specifically, Bennet suggests that structural elements such as decision making authority, policies and procedures could influence the way work is accomplished throughout the organization; which in turn, affects the behavior of the employees (2004, 76-77).

Several “types” of structure were identified, during the literature review, ranging from corporate and military hierarchical structures to “flat” or minimally layered structures such as organizations run by executive boards, panels or simply a team or network of individuals. Regardless of the type, the purpose of the structure was to focus the organization’s effort and control the distribution resources based on the organization’s needs (Bennet 2004, 77; Senge 2006, 286).

Throughout the literature review a common idea posited was that organizations require some form of structural control in order to prevent chaos from occurring (Johnson 2001, 118). As Bennet suggests, “systems that survive over time usually have some form of hierarchical structure” (2004, 278) which provides stability and enables the organization to withstand and respond to changes in the environment (2004, 278). It was also of note that each of the primary literature sources selected described structural characteristics and capabilities vice a specific type of structure.

## Culture

The combination of terms associated with culture identified from the literature review were: relationships and social networks (informal), individual roles (informal), norms, customs, history, artifacts, assumptions, beliefs, perceptions, practices, skills, capabilities, alertness to surroundings, language, communication patterns, values, negotiation style, and expectations (Senge 2006, 284; Bennet 2004, 100; FM 6-22 6-7; FM 3-24.2 2008, 1-19).

The organizational culture was described as being the source of energy for accomplishing tasks which affected how the organization operated (Bennet 2004, 99; Senge 2006, 286). Army doctrine supported this arrangement by stating that “culture determines how individuals approach problems, make judgments, determine right from wrong, and establish proper priorities,” and that “strategic leaders leverage [culture] to guide and inspire large and diverse organizations . . . to support vision, accomplish the mission, and to improve the organization” (FM 6-22 2006, 12-9).

Influences on organizational culture were a common theme unearthed during the literature review. Both private industry and military literature sources suggest that the organizational culture is influenced by the internal environment (leadership, structure and culture) and the external environment (other organizations, populations, threats). Senge explained that any change made to organizational structures influences the behavior of the culture; and the emergent cultural behavior in turn influences leaders (2006, 286). Bennet agreed, and further explained that culture is influenced by the external environment and “perceptions of the future” (2004, 100). Army doctrine reflected both views by suggesting that “strategic leaders shape the Army culture to influence the force”



and that “culture shapes Army customs and traditions through doctrine, policies, and regulations, and the philosophy that guides the institution” (FM 6-22 12-2, 9).

The underlying theme was that leaders and structures influence culture, and the behavior of the culture influences leader behavior. The process of influencing culture by making changes to the organizational structure requires leaders to assess the emergent behavior using a continuous cycle of change, observation and reflection (Senge 2006). No time frames were identified by the researcher with respect to culture change; however, private industry and military literature sources agreed that while culture was not a constant, it was slow to change (Bennet 2004, 100; Senge 2006, 28; FM 6-22 2006, 8-1).

Senge identified the period of time between implemented changes and the subsequent emergent behavior as a “delay” (2006, 389-400); and depicted this pause in his systems diagrams to inform leaders that patience was required during this period. According to Senge, delays usually result in “leaders overreacting due to the perception of lack of immediate change in behavior” (2006, 88). This overreaction could result in the emergence of a behavior not well-suited to the environment. Additionally, overreaction by leaders during the delay period could have a negative impact the attitude and morale of the organizational culture.

### Climate

Private industry and military literature sources used the terms climate, organizational environment or atmosphere when describing the organization’s feelings, perceptions and attitudes between leadership, culture and structure. Trust, ethical, positive and/or fear were common terms used to describe the various feelings attributed

to the organizational climate. Bennet described climate as an “invisible medium within which every [employee] moves, thinks, and acts every workday” (2004, 100).

Army doctrine described the organizational environment as the “climate and culture in which the Leader leads” (FM 6-22 2006, 8-1) and defined climate as “the state of morale and level of satisfaction of members of an organization” (FM 6-22 2006, G-2). Additionally, Army doctrine stated that “climate is generally a short-term experience, depending on a network of the personalities in a small organization and reflects how members feel about the organization based on shared perceptions and attitudes about the unit’s daily functioning” (FM 6-22 2006, 8-1). It was further suggested that the emergent feelings, perceptions and attitudes of the culture could influence individual behavior and the organization’s performance (FM 6-22 2006, 3-7, 4-12).

The relevance of climate with respect to culture was that even though it was described as being a short-term attitude or perception, it was suggested that the potential existed for climate to have long-term effects on the organization’s culture and overall organizational performance (Bennet 2004; Senge 2006). As Johnson suggests, “there are environments that facilitate higher-level intelligence and environments that suppress it” (2001, 116-117). According to Brown “fostering a positive climate enables organizations to generate new ideas, solicit greater participation from employees and encourage employees to take initiative, resulting in improved organizational performance” (Brown 2009, 76).

### Leadership

Leadership was defined as “the process of influencing people by providing purpose, direction, and motivation, while operating to accomplish the mission and

improve the organization” (FM 6-22 2006, G-3). According to Senge, “leadership is always about change; and leaders, individually and collectively, work to bring about a different order of things; their focus is invariably on the new, on what is trying to emerge” (2006, 335). Several sources suggest that the leader could influence emergent behavior through implementing changes to the organizational components (Bennet 2004; Senge 2006; FM 6-22 2006). The most common change methods found were: modeling the desired behavior; establishing a climate that supports adaptive behaviors; allocation of resources; structural changes; demonstrating trust by empowering subordinates; aligning organizational effort to achieve goals; and influencing the external environment by establishing relationships outside the organization (Bennet 2004; Senge 2006; FM 6-22 2006). The importance of modeling the desired behavior was that leaders must change their “thinking, perspectives and behavior, in order for the culture to change” (Bennet 2004, 152).

Leaders must create an environment that would enable the desired behaviors through “trust and mutual understanding”; which required allowing subordinates to utilize their understanding and intuition to make decisions and take action (FM 6-0 2003, 1-17); “welcoming divergent thinking” (Brown 2009, 229); and allowing employees to “fail early and fail often” (Brown 2009, 230), in order to encourage experimentation and learning.

Additionally, it was suggested that leaders must make changes to the organizational structures in order to control and enable the desired behavior “because structures could support or hinder cultural needs” (Bennet 2004, 152). Senge explained that “leaders who utilize the systems approach to design an organization should

understand that artifacts, like metrics, formal roles and processes, web-sites and innovative meetings are ways to influence organizational behavior” (2006, 321).

This section discussed the theories discovered by the researcher that were associated with adaptive behavior; and described the organizational components of structure, culture, climate and leadership and their potential influences on organizational behavior. The next section presents several strategies for enhancing adaptive behavior.

### Strategies for Enhancing Adaptive Behavior

The researcher found several strategic approaches described to implement changes to an organization that could influence adaptive behavior. The approaches were: (1) Holistic; (2) Iterative; and (3) Context. Each was summarized in the following paragraphs.

#### Holistic

The holistic approach to influencing adaptive behavior prescribed implementing changes to organizations by taking into account the effects of any change on structures, culture, leadership and the external environment (Bennet 2004; Senge 2006; Sull 2009; Brown 2009; FM 6-22 2006). This approach requires leaders to have an understanding of complexity, emergence, systems and organizational theories in order to understand the interactions, interrelationships and influences between structures, culture, leaders, and the external environment before making any changes to the organization (Bennet 2004; Senge 2006).

### Iterative

The iterative approach suggests that leaders to implement changes, observe the emergent behavior, and assess the outcomes of changes before implementing new changes (Bennet 2004; Brown 2009; Senge 2006; Sull 2009; FM 6-22 2006; FM 6-0, 2003). This allows leaders and subordinates to better understand the cause-and-effects of numerous interrelationships, resulting in more effective adjustments (Bennet 2004; Senge 2006). Additionally, it was recommended by several authors that this approach should be used in both short-term and long-term durations, with continuous assessment; as this enables leaders to make incremental adjustments, and prevents drastic changes that could result in poor organizational performance (Bennet 2004; Senge 2006; Brown 2009; Sull 2009; FM 6-0 2003).

### Context

The context approach required leaders to ensure the organizational components of leadership, structure and culture enabled an external focus—ability to connect to, observe and influence the external environment. External focus could enable an organization to identify changes in the external environment and respond more effectively; as opposed to an internal organizational focus only (Bennet 2004; Brown 2009; Senge 2006; FM 6-22 2006; FM 6-0 2003). This ability and focus was required “to recognize changes in the environment, identify the critical elements of the new situation, and trigger changes accordingly to meet new requirements” (FM 6-22 2006, 10-8). Additionally, Gharajedghi explained that “systems could only be understood in the context of their environment” (2006, 30); and that leaders must identify elements of the environment that can be “controlled, influenced, and those elements that can only be appreciated” (2006, 30).

### Practices for Developing Adaptive Capabilities

Several practices for improving internal organizational capability to enhance adaptability were reviewed; each described practice contained one central theme: improving the decision making capability of individuals within the organization and empowering them to make decisions and take action; ultimately resulting in improved organizational performance. The practices reviewed were: 1) learning (Senge 2006); 2) knowledge-centric (Bennet 2004); 3) human-centered (Brown, 2009); 4) agility (Sull, 2009); and 5) Mission Command (FM 6-0, 2003).

#### Learning

This practice recommends that leaders implement changes to the organization's overarching mission, values, structures, decision making processes, and individual roles in order to affect the overall ability of the organization to incorporate learning as the primary means of achieving its goals (Senge 2006). To implement, leaders should incorporate time for experimentation without fear of retribution; followed by a period of reflection to gain an understanding of why a particular outcome occurred. Additionally, leaders should incorporate systems diagrams and dialogue sessions to determine possible solutions to problems before implementing changes to the organizational components (Senge 2006). Potential outcomes of learning could result in an increase in individual and organizational ability to share information and generate knowledge; improved understanding of the culture, structure and leadership conflicts that exist within the organization; improved decision making; and improved organizational behavior required to accomplish organizational goals (Bennet 2004; Senge 2006).

### Knowledge-centric

This practice recommends that leaders focus on creating and sharing knowledge throughout the organization to increase overall individual and organizational decision making (Bennet 2004, 65). To implement this practice requires leaders to implement changes to organizational components that enable employees to connect to the external environment, and allow for the free flow of information and collaboration to create knowledge (Bennet 2004). Additionally, this practice relies on the individual and organization to determine what information received is relevant information based on the organization's goals and determines who within the organization needs the information (Bennet 2004). Potential outcomes of implementing knowledge-centric practices could result in improved decision making quality, mutual understanding of organizational goals and environmental impacts, and organizational learning.

### Human-centered

This practice recommends that leaders focus on developing systems and structures that target individual needs for accomplishing their tasks or goals (Brown 2009). Leaders should focus on how employees might incorporate a specific technology and knowledge management systems, rather than providing a technology or incorporating a system that requires the employees to react to the change (Brown 2009). To implement the human-centered approach, leaders should make changes to organizational components that allow time for “divergent and convergent thinking” (Brown 2009, 66); dialogue sessions; time to experiment; and allow subordinates and leaders to focus on gaining insight from other people—including those outside their organization to determine “desirability, viability and feasibility” (2009, 19) of changes before implementation. Potential outcomes of this

practice could result in more effective implementation of changes to organizational components; improved decision making; and increased employee motivation (2009, 19).

### Agility

This practice recommends that leaders focus on making adjustments to organizational components that enable subordinates to identify and seize opportunities when they arise. Additionally, this practice requires a structure that can rapidly shift resources to support decisions made by subordinates (Sull 2009). To implement this practice, leaders should conduct take an iterative approach to change by conducting effective meetings that result in mutual understanding of the organization's goals; prioritize individual efforts and resources; supervise the implementation of change; and make adjustments to plans based on events and opportunities that arise in the external environment (Sull 2009). Additionally, to successfully implement this practice requires leader to enable subordinates to distribute "real-time, unfiltered, shared and holistic information" (Sull 2009, 152) throughout the organization to enable subordinates to make more effective local level decisions. Potential outcomes of this practice could result in the ability of the organization to respond faster than its competitors (2009, 152).

### Mission Command

This practice recommends that leaders empower subordinates to make decisions based on "disciplined initiative and aggressive action within the commander's intent to accomplish missions" (FM 6-0 2003, 1-17). This practice requires leaders to establish an "environment of trust and mutual understanding" (2003, 1-17). To create this climate, leaders should provide subordinates with an understanding of what the organization must



do to be successful, and allow subordinates to make decisions within pre-established constraints (2003, 1-17). Additionally, leaders should allow subordinates the freedom to determine the most effective way to execute with the resources available (2003, 1-17). It must be noted that this practice “values speed and agility over precision and certainty” (FM 6-0 2003, 5-5) and is very much decentralized in nature (2003, 5-5). Potential outcomes of this practice could result in increased structural flexibility; agile implementation of required changes; increased innovation; and improved decision making quality (FM 6-0 2003).

#### Characteristics of Adaptive Capabilities

Figure 3 presents a consolidated list of Organizational Adaptive Behaviors that the primary literature sources suggest are the desired characteristics of and adaptive organization.

Adaptive Behavior (Research Sources)			
<b>Bennet, 2004</b> <b>(Adaptive)</b> -Shared Purpose -Flow -Selectivity -Knowledge centricity -Optimum Complexity -Multidimensionality -Organizational Intelligence -Permeable Boundaries	<b>Senge, 2006</b> <b>(Learning)</b> -Holism -Interconnected -Being -Generativeness -Connectedness -Love of truth -Openness -Commonality of Purpose -Partnership	<b>Brown, 2009</b> <b>(Design Thinking)</b> -Experimental -Divergent / Convergent Thinking Decision Making -Optimistic -Openness -Empathy -Interconnected -Human-centered -Passionate -Use of Teams -Integrate new data	<b>Sull, 2009</b> <b>(Agile)</b> Characteristics -Experimental -Risk taking -Improvisational -Unfiltered information -Incorporate new Information -Agile -Informality -Performance Oriented -Transparency -Partnership
<b>FM 3-0, 2008</b> <b>(Operations)</b> Characteristics -Command Presence -Skilled Judgment -Unity of Effort -Initiative -Situational Understanding -Accurate Anticipation -Effective Response -Information Flow -Trust -Mutual Understanding -Flexibility -Adaptability	<b>FM 6-0, 2003</b> <b>(Command &amp; Control)</b> Characteristics -Command Presence -Skilled Judgment -Unity of Effort -Initiative -Situational Understanding -Accurate Anticipation -Effective Response -Information Flow -Trust -Mutual Understanding -Flexibility -Adaptability	<b>FM 6-22, 2006</b> <b>(Adaptive Leadership)</b> Characteristics -Comfortable in unfamiliar environments -Mission Orders -Initiative -Rapid Assessment -Open -Trust -Learning -Teams -Flexibility -Individual Adaptability -Mental Agility	<b>FM 7-0, 2008</b> <b>(Adaptive Leadership)</b> Characteristics -Comfortable in unfamiliar environments -Mission Orders -Initiative -Rapid Assessment -Open -Trust -Learning -Teams -Flexibility -Individual Adaptability -Mental Agility

Figure 3. Research Source Terms for Adaptive Behavior  
*Source:* Created by Author.

### Summary

This chapter discussed organizations as complex systems, and due to the numerous interactions between the people within the organization and their interactions with the external environment, patterns of macro-behavior (phenomena) could emerge. It was suggested by Bennet and Senge that an understanding of complexity, emergence and systems theories could enable leaders to understand how the phenomenon of self-organization, learning, organizational intelligence and adaptive behavior emerge. Additionally, both Bennet and Senge suggest that an understanding of the phenomena

and associated theories could enable leaders to influence adaptive behaviors within their organizational culture (Bennet 2004; Senge 2006).

Culture is the source of organizational energy and demonstrates emergent behavior. Structure controls resources; organizational effort; and influences the emergent behavior of the culture and leadership. Climate was the internal organizational environment that could enable synergy between the organizational components. And finally, leaders should focus organizational effort and model the desired behavior in order to influence the organizational culture.

Several practices were reviewed for making changes to the organizational components in order to influence the desired behaviors and improve organizational capabilities required to adapt. These strategies were: Human-Centered (Brown 2009), Knowledge-Centric (Bennet 2004), Learning (Senge 2006), Agility (Sull 2009), Mission Command (Army). The common theme of each was improving and supporting the decision making ability of individuals within the organization in order to increase organizational performance.

Strategic approaches to enhancing adaptive behavior consisted of a holistic approach to organizational change by considering the affects of change on all organizational components. An iterative approach to organizational change to identify the need for change, decide on the changes to be made, implement change, and observe the emergent behavior. And finally, the context focused approach in which each organizational component should enable the organization to connect to the external environment and respond to and influence external patterns and events.

Finally, the characteristics of adaptive behavior were presented for each source; and it was suggested that these characteristics were the desired behaviors leaders should look for and foster within their formations to enhance adaptive behavior and ultimately adaptability.

Chapter 3 describes the research methodology implemented by the researcher to support the requirement for enhancing BCT adaptive behavior. The qualitative research methodology employed for the phenomenological approach. This approach was employed to describe the phenomena of adaptive behavior at an organizational level by identifying patterns, themes and interrelationships through an emergent data literature review, and interviews with Army BCT leaders. Chapter 4 presents the findings and analysis to support the research questions. Chapter 5 presents possible strategies that could be implemented to enhance adaptability, and provide recommendations for areas of future study.

## CHAPTER 3

### RESEARCH METHODOLOGY

#### Introduction

Today's operational environment consists of "uncertainty, chance, friction, and complexity" (FM 3-0 2008, 1-16). "Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly" (FM 7-0 2008, 1-5). In response to these operational environment characteristics, Brigade Combat Teams; the Army's basic tactical maneuver units; must be able to "learn constantly from experience (their own and others) and apply new knowledge to each situation" (FM 7-0 2008, 1-5). Additionally, BCTs must be able to balance the skills of "expeditionary agility and responsiveness with physical endurance and adaptability" (FM 3-0 2008, 1-17).

The purpose of this study was to support the requirement for BCTs and their subordinate organizations to adapt to the operational environment. The aim of this study was to discover strategies and practices that could be implemented by BCT leaders to enhance their organizational adaptability. This discovery was accomplished by exploring contemporary private industry and Army literature; interviewing current and former BCT leaders; and utilizing the researcher's BCT experience to gain insight into the essence, meaning, and practices of fostering adaptive behavior within an organization.

This chapter presents the: (1) research questions used for this study; (2) overview of the Phenomenological qualitative research approach; (3) research strategy employed for this study; (4) data collection methods employed to support answering each research

question; (5) description of the analytic methods used for this study; and (6) chapter summary.

### Research Questions

Primary research question: How can BCT leaders enhance organizational adaptability in the Army Operational Training Domain?

Secondary questions were:

1. How do private industry, the Army, and BCT leaders define an adaptive organization?
2. Which strategies and practices recommended by private industry, the Army, and BCT leaders could be employed to enhance BCT adaptability?
3. What factors identified by private industry, the US Army, and BCT leaders could prevent or disrupt efforts to enhance BCT adaptability?
4. What do private industry, the US Army, and BCT leaders suggest is the Leader's role in enhancing organizational adaptability?

### Overview of Phenomenology Research Methodology

The qualitative research methodology employed for this study was the phenomenological approach. The purpose for selecting this method was because the need to describe the phenomena of adaptive behavior. The description of adaptive behavior and surrounding phenomena included identifying strategies and practices used to enhance this behavior within a BCT.

According to Johnson, the fundamental questions of a phenomenological study are: What are the meanings, structures, and essences of the lived experience of the phenomenon by an individual or by many individuals (2002).

When using the phenomenological research approach, Lester suggested that “a variety of methods can be used in phenomenological-based research, including interviews, conversations, participant observation, action research, focus meetings and analysis of personal texts” (1999, 2). He further explained that, “interview transcripts, unstructured notes or personal texts” are generally used when implementing this methodology and the process is to “read through and get a feel for what is being said, identifying key themes and issues in each text” (1999, 2). Ultimately the findings should provide a description of the essential or invariant structures, such as common characteristics or essences, as experienced by the participants (Johnson 2002).

For the purposes of this study, the researcher employed a combination of oral history interviews with BCT leaders and an exploratory review of literature to discover the meaning, structures and essences of adaptive behavior as experienced by subject matter experts (BCT leaders), and described by private industry and military literature. Additionally, all three sources were used to answer the primary and secondary research questions. The next section describes the details of the research methods employed for this study.

### Research Strategy Employed for the Study

The design strategy used for this study provided for a flexible design that allowed researcher to explore new discoveries and pursue new paths of information relevant to the research questions as they emerged (2002, 40-41). Additionally, the research method

included purposeful sampling in the form of oral history interviews with current and former BCT leaders to gain their insight, observation and lived experience with the phenomenon (Johnson 2002).

### Data Collection Methods

The data collection methods selected for this study were a combination of qualitative techniques; which were obtained from all primary research sources; and personal experience and engagement (Johnson 2002). This form of data collection enabled the researcher to review literature and gain an understanding of the contemporary theories and practices associated with the phenomenon, as well as orchestrate personal contact with BCT leaders that either had, or were still, experiencing the phenomena. The following steps were employed by the researcher to collect data to answer the research questions and develop the data collection framework:

1. Identify relevant data sources
2. Develop the research framework for grouping of data collected
3. Select, review and interview primary data sources
4. Inductive analysis of data collected

#### Step 1: Identify Relevant Data Sources

The first step in this study involved identifying sources of data, which was accomplished by selecting the following key search terms: adaptive organizations, adaptive leadership, organizational adaptability, learning organizations, agile organizations, managing change, adaptive, adaptability, learning, and agility.



Using key search terms the following databases were selected to search for contemporary sources:

1. Internet
2. Army Field Manuals,
3. Joint Publications,
4. Theses and monographs obtained from the Combined Arms Research Library at Fort Leavenworth, Kansas.

#### Step 2: Develop the Research Framework for Grouping of Data Collected

The second step involved conducting a cursory review of material discovered from the database in an effort to identify key characteristics of the research topic adaptability and adaptive behavior that were used, and refined, for the purpose of framing the findings. The effort resulted in the development of a framework for use in data collection and analysis that consisted of four distinct data collection categories.

The first research framework category was developed based on the researcher's discovery of three phenomena that were suggested to support/enable adaptive behavior.

The behaviors were:

1. Self-organization
2. Learning
3. Intelligence

The second research framework category was developed based on the researcher's identification of four key several strategies suggested to enhance adaptability or adaptive behavior. The strategies were:

1. Holistic
2. Iterative
3. Context
4. Inclusive
5. Decentralized

The third and fourth research framework categories were developed based on the researcher's discovery of the organizational components that were suggested to exist in formal organizations. These components were used to group two types of data collected:

1. Characteristics and capabilities of the organizational components that support adaptability and/or adaptive behavior

2. Barriers within the four organizational components that prevent adaptability and/or adaptive behavior. The components were:

- a. Leadership
- b. Structure
- c. Climate
- d. Culture

Collectively, the four research framework categories were used to collect and group data to answer the research questions as follows:

1. Dominant descriptions of adaptive behavior and the discovered supporting behaviors of self-organization, learning and organizational intelligence. (Research question #1)

2. Dominant strategies and practices used to enhance adaptive behavior. (Research Question #2)

3. Dominant characteristics of organizational structures that support adaptive behavior. (Research Question #2)

4. Dominant characteristics of organizational culture and climate that support adaptive behavior. (Research Question #2)

5. Dominant Leader characteristics that foster adaptive behavior. (Research Question #4)

6. Dominant structures, climate, culture and Leader characteristics and behaviors that prevent adaptive behavior (barriers). (Research Question #3)

### Step 3: Select, Review and Interview Primary Data Sources

The third step involved identifying primary data sources. To answer the research questions, data was collected from four sources:

1. Private industry literature
2. Military literature
3. BCT leaders
4. Researcher experience

### Literature Source Selection

The primary literature sources were selected by conducting a review of emergent private industry and military literature sources. The purpose of the literature review was to seek the definition of adaptability; descriptions of adaptive behavior; and discover strategies and practices found in private industry and military literature relevant to enhancing BCT adaptability.

Resources used to collect data that answered the primary and secondary research questions were the internet, Army Field Manuals, and the Combined Arms Research Library at Fort Leavenworth, Kansas. The researcher initially conducted a search for literature utilizing the following terms or phrases: adaptive organizations, adaptive leadership, organizational adaptability, learning organizations, agile organizations, managing change, adaptive, adaptability, learning, and agility. This search yielded numerous short articles, research papers and private industry books on the various topics.

After reviewing several sources of literature discovered on the subject of adaptability, the researcher expanded the search to include literature sources focused on complexity theory, system theory, emergence theory, and organizational theory; as these were immediately identified as theories relevant to understanding the phenomena of adaptive behavior.

The volume of research material discovered was reduced by developing selection criterion, based on several additional themes that emerged after the researcher had completed reviewing approximately 50 percent of the discovered literature. The criteria that were used for selection were as follows:

1. Literature sources that described adaptive behavior in a way similar to the definition used by the Army; “an effective change in behavior in response to an altered situation” (FM 6-22, 2006, 10-8).
2. Literature sources that addressed organizational level functions, practices, methods, structures, cultures and leadership traits that the source stated as characteristic of an adaptive, agile, learning or flexible organizations. Additionally, the literature source must address an organization that is larger than 100 people.

3. Articles and Information Papers. The literature source was greater than 500 words and case study based - not personal theory alone. Additionally, the articles provided explanations of how to create or influence adaptive and/or learning behavior.

4. Military reference. This criterion was not a discriminator, but did result in a higher rating for selection by the researcher due to the purpose of the study and the need to identify practices and methodologies that had been successfully implemented by military organizations. Specifically, this criterion added weight to an article or book that referenced military organizations as examples of adaptive, learning, flexible or agile organizations. Military in this respect referred to any branch of service (Army, Navy, Air Force, Marines).

5. Publish dates. The researcher chose a sample of recent literature as defined by having been published in 1980 or later.

The following primary private industry resources were selected by the researcher for use based on the criteria listed above:

1. Alex and David Bennet, *The Intelligent Complex Adaptive System, The Theory of the New Firm*, 2004 (Book)

2. Tim Brown, 2009 *Change by Design*, (Book).

3. Peter Senge, 2006 *The Fifth Discipline*, (Book).

4. Donald Sull, 2009 *The Upside of Turbulence*, (Book).

The following primary military literature sources were selected by the researcher for use based on the criteria listed above:

1. Field Manual 2008 3-0, *Operations*.
2. Field Manual 6-0, 2003 *Mission Command, Command and Control of Army Forces*.
3. Field Manual 6-22, 2006 *Army Leadership*.
4. Field Manual 7-0, 2008 *Training for Full Spectrum Operations*.

Throughout the review of literature, the researcher used the research framework to collect and group data collected from the literature sources. Data collection and products developed by the researcher and used for analysis of findings for literature sources are found in Appendix B to this study.

#### BCT Leader Selection

Oral history interviews with BCT leaders were a data collection source. The purpose of conducting interviews was to gain insight into the lived experiences of adaptive behavior from the perspectives of Army BCT leaders currently serving in BCTs. Specifically, the interviews were used to provide historical descriptions of the characteristics and capabilities associated with adaptive organizations as experienced by BCT leaders and to discover strategies and practices that, from their perspective, could be implemented to enhance BCT adaptability.

The researcher conducted the oral history interviews with personnel that were either serving with a BCT, or had served with a BCT during combat. The officers selected for the interviews met one or more of the following criteria:

1. Volunteered to participate in an oral history interview at the request of the researcher.

2. Were currently serving with a BCT.
3. Had served with a BCT during OIF or OEF.

Demographics of the officers interviewed are as follows:

1. One BCT Commander (Colonels) (OIF/OEF experience)
2. Two Battalion Commanders (Lieutenant Colonels) (OIF/OEF experience)
3. Three Brigade Staff Officers (One Lieutenant Colonel, one Major, and one Captain)
4. Two Company Commanders (Captains)

Interviews were conducted on a voluntary basis; and each participant signed a Consent and Use Agreement for Oral History form prior to participating in the interview. A blank example of the consent form can be found in Appendix D.

The questions used for the conduct of the interviews were the primary and secondary research questions as they appeared in this chapter. Each interview was conducted in a quiet area, with only the researcher and the officer being interviewed present. The researcher interviewed each officer separately and allowed sufficient time for the officer to respond. No time limit was set by the researcher for the interviews; most averaged 25 minutes. Dialogue between the researcher and the officer was encouraged and open ended questions were used. If the officer mentioned any of the following terms: structure, culture, learning, climate; the researcher requested that the officer provide a definition and explanation of how each applied to adaptive behavior, or organizational adaptability.

The researcher did not disclose any findings from the literature review with the officers before meeting to be interviewed to ensure there was no prejudice in their

descriptions of adaptive behavior and their recommendations for practices and strategies to enhance BCT adaptability.

The researcher digitally recorded all interviews created detailed typed summarized transcripts which can be found in Appendix A to this study. Data collected from the interviews was organized utilizing the research framework categories previously described in this chapter. BCT Leader interview analysis products developed by the researcher are found in Chapter 4 and Appendix B to this study.

#### Step 4: Inductive Analysis of Data Collected

The final step in data collection was inductive analysis which consisted of immersion in the details and specifics of the data to discover important patterns, themes, and interrelationships (Johnson 2002), which was conducted by the researcher utilizing the following steps:

1. Identifying emergent themes by research framework category
2. Developing a term association matrix
3. Identify most common themes
4. Grouping data by research framework category, by individual and group source.

#### Identification of Emergent Themes

All data collected from the primary research sources was recorded utilizing a data collection format developed by the researcher, in which the data was consolidated by each source and by research category. Figure 4 depicts the data collection and shows the purpose of grouping data for the adaptive behavior findings.



4-6 Behavior	Bennet (2004)	Brown (2009)	Senge (1990)	Sull (2009)
Private Industry	<ul style="list-style-type: none"> <li>-Teams (workers collaborate and share knowledge)</li> <li>-Systems (balanced understanding of the overall needs of the organization)</li> <li>-Learning (increase in skills and capabilities)</li> <li>-Creativity (increase in new ideas and effective solutions to problems)</li> <li>-Sharing (widespread sharing of ideas, opinions and information – increased speed and accuracy of Flow)</li> <li>-Freedom &amp; Flexibility (greater ability to effect change and respond)</li> <li>-Managing Change (ability to ID and overcome barriers to change)</li> </ul>	<ul style="list-style-type: none"> <li>-Divergent &amp; Convergent Thinking (more creative choices, and effective decisions)</li> <li>-Analysis &amp; Synthesis (whole ideas created within constraints, identifying meaningful patterns)</li> <li>-Prototyping (openness to experimentation)</li> <li>-Reinforcing elements (more effective connections internally and externally, reduction of boundaries, greater collaboration)</li> </ul>	<ul style="list-style-type: none"> <li>-Systems Thinking (Holism, interconnectedness)</li> <li>-Personal Mastery (Being, generativeness, connectedness)</li> <li>-Mental Models (Love of truth, openness)</li> <li>-Shared Vision (commonality of purpose, partnership)</li> </ul>	<ul style="list-style-type: none"> <li>-Mental Maps (Ability to incorporate new information, reject old assumptions – re think others, and reconfigure the map)</li> <li>-Reinforcing Commitments (flexible structure of commitments that translates organizational strategy into action and avoid active inertia)</li> <li>-Anomalies (use of anomalies to update ongoing plans/actions)</li> <li>-Improvisation Teams (use of Rush data, ID patterns and anomalies, continuous interaction and dialogue, develop innovative changes to the map)</li> </ul>
	<b>FM 3-0 (2008)</b>	<b>FM 6-0 (2003)</b>	<b>FM 6-22 (2006)</b>	<b>FM 7-0 (2008)</b>
US ARMY DOCTRINE	<ul style="list-style-type: none"> <li>-Ability to operate effectively in any environment</li> <li>-Quickly deploy</li> <li>-Shape conditions in the operational environment (external influence)</li> <li>-Ability to sustain operations</li> <li>-Easily change task organization (Flexible)</li> <li>-Self-sufficient</li> <li>-Ability to execute Battle Command (Understand, Visualize, Describe, Direct)</li> <li>-Creative thinking Leaders</li> </ul>	<ul style="list-style-type: none"> <li>-Command Presence</li> <li>-Skilled Judgment / Intuitive Decision Making</li> <li>-Unity of Effort</li> <li>-Subordinate Initiative</li> <li>-Situational Understanding</li> <li>-Accurate Anticipation / Effective Response to change</li> <li>-Ability to execute Battle Command (understand, Visualize, Describe, Direct)</li> <li>-Ability to execute the Operations Process (Plan, Prepare, Execute, Assess) Iterative</li> <li>-External Focus</li> <li>-Creative thinking</li> </ul>	<ul style="list-style-type: none"> <li>-Comfortable entering unfamiliar environments</li> <li>-Ability to operate under mission orders</li> <li>-Exercise disciplined initiative</li> <li>-Rapid assessment of a situation and implementation of effective means to achieve desired results</li> <li>-Confident / Competent</li> <li>-Collaborative / Teamwork</li> <li>-Demonstrates moral courage</li> <li>-Shared Understanding</li> <li>-Experimental</li> <li>-Sound Judgment / Intuitive decision making</li> <li>-Innovative</li> </ul>	<ul style="list-style-type: none"> <li>-Proficiency in "most likely" tasks</li> <li>-Subordinates willing to execute initiative</li> <li>-Competent and confident units and leaders</li> <li>-Capability to operate across the spectrum of conflict</li> <li>-Leaders know and enforce standards</li> <li>-Leaders and units retain core competencies</li> <li>-Leaders execute the art and science of battle command</li> <li>-Leaders can execute mission command</li> <li>-Leaders and organizations can adapt to changing situations</li> <li>-Leaders that can think creatively</li> </ul>
	<b>CPT-FA-2 (In Command)</b>	<b>CPT-AR-3 (In Command)</b>	<b>CPT-AR-5 (Command Complete)</b>	<b>MAJ-MI-1 (BCT Staff)</b>
ARMY BCT Leaders	<ul style="list-style-type: none"> <li>-A Unit that can receive a mission outside it's standard METL and execute that mission by conducting MDMP, proper resourcing and implementation in an orderly fashion</li> </ul>	<ul style="list-style-type: none"> <li>-A Unit that learns from experiences and shares lessons learned during OPDs</li> </ul>	<ul style="list-style-type: none"> <li>-An organization that listens to their subordinates and takes their ideas and executes the mission</li> </ul>	<ul style="list-style-type: none"> <li>-Proactive</li> <li>-Can react to multiple environments</li> <li>-Can function in High and Low intensity conflicts</li> </ul>
	<b>LTC-FA-4 (In Command)</b>	<b>LTC-QM-6 (In Command)</b>	<b>LTC-FA-7 (Retired DCO)</b>	<b>COL-AR-8 (In Command)</b>
ARMY BCT Leaders	<ul style="list-style-type: none"> <li>-An organization that embraces the mission at hand and is able to execute the given mission</li> <li>-Able to implement ideas and changes in anticipation of (external) events</li> <li>-Well grounded in the basics</li> </ul>	<ul style="list-style-type: none"> <li>-An organization that understands commander's intent, understands their capabilities, can look at the situation and adapt where they are to execute the mission within the commander's intent.</li> <li>-Be able to think on your feet, agile, anticipate.</li> </ul>	<ul style="list-style-type: none"> <li>-An adaptive organization recognizes that things change and that it must be prepared to anticipate said changes and react to them in a timely manner.</li> </ul>	<ul style="list-style-type: none"> <li>-An organization that is adaptive can quickly react to changes in their operating environment, be it changes in resource availability, changes in time, and changes in key leadership; and all those changes taken into account, [the organization] can still perform at a high level.</li> </ul>

Figure 4. Example Data Collection Format

Source: Created by Author

### Develop Term Association Matrix & Identify Themes

An initial review of data collected resulted in the development of a Term Association Matrix for each research framework category; as private industry and military literature sources and BCT leaders used various terms to describe similar behaviors and characteristics. To develop the Term Association Matrix, Webster's Everyday Thesaurus (2002) was used to assist with selecting primary terms and synonyms for each research framework category. Additionally, the researcher incorporated terms used by the primary literature sources and BCT leaders.

To classify a theme as common, the researcher identified themes used by at least two individual sources within at least three source groups. Figure 5 depicts the Term Association Matrix developed by the researcher for this study.

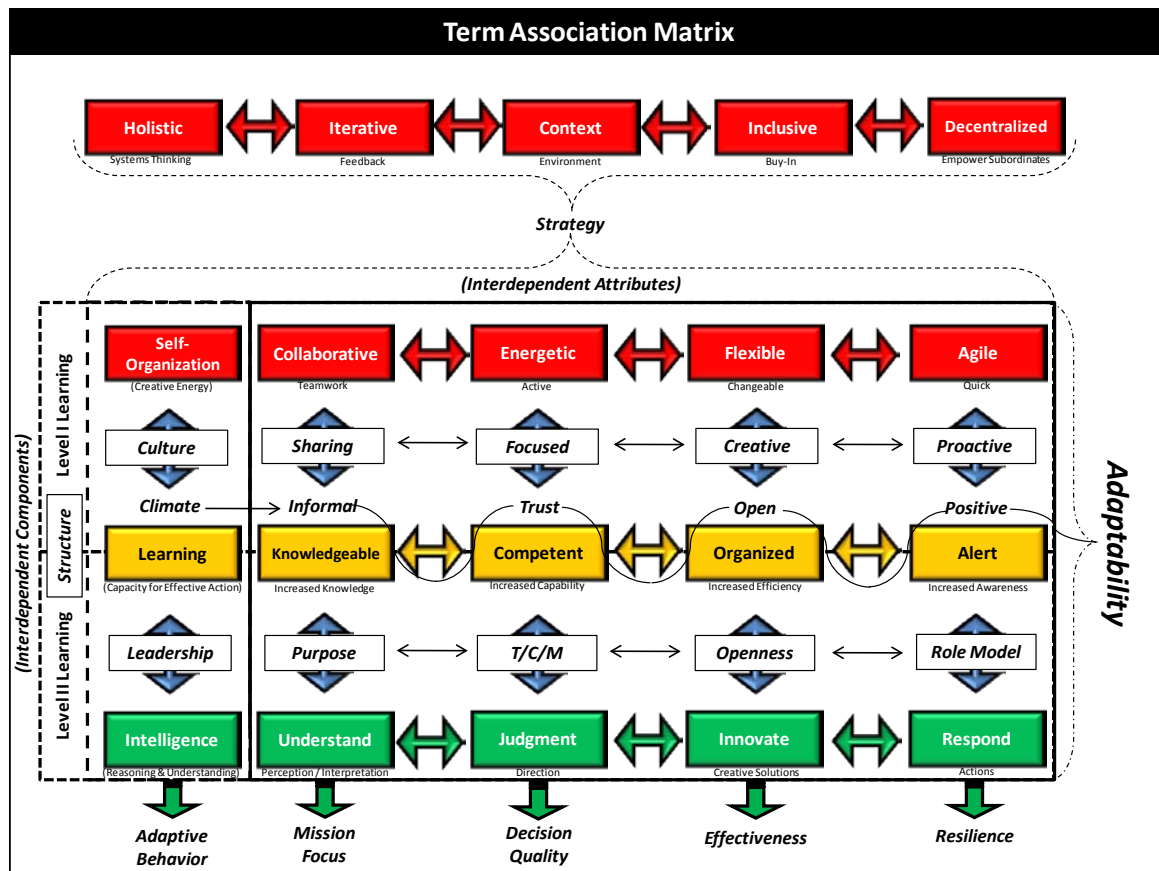


Figure 5. Term Association Matrix

Source: Created by Author.

### Group and Categorize Data

Terms depicted in the figure above were selected based on the identification of emergent themes discovered from the review of literature and BCT leader interviews.

The terms were then used to group and categorize literature findings and BCT Leader responses within the research framework.

For example; each data source provided data that was consistent with the term “flexible.” A source’s use of any form of the term “flexible” or synonyms such as resilient, adaptable, changeable, responsive, manageable, or compliant, was assessed by the researcher as having provided relevant data for said category and the theme of “flexible.”

The researcher conducted this process for each research framework category and by common theme (term). Figure 6 depicts the method employed by the researcher to collect and group data by individual and group source, and by research framework category.

Organizational Climate (Findings/Analysis)				
Source	Open	Positive	Trust	Informal
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	X	-	-	-
LTC-QM-6	-	-	-	-
LTC-FA-7	X	-	-	-
COL-AR-8	X	-	X	-
CPT-FA-2	-	X	-	-
CPT-AR-3	X	X	-	X
CPT-AR-5	X	-	-	-
MAJ-MI-1	X	X	X	X

Figure 6. Research Framework Data Collection Format  
*Source:* Created by Author.

Figure 7 depicts the method employed by the researcher to present analysis sorted by source group, term association, and by research framework category.

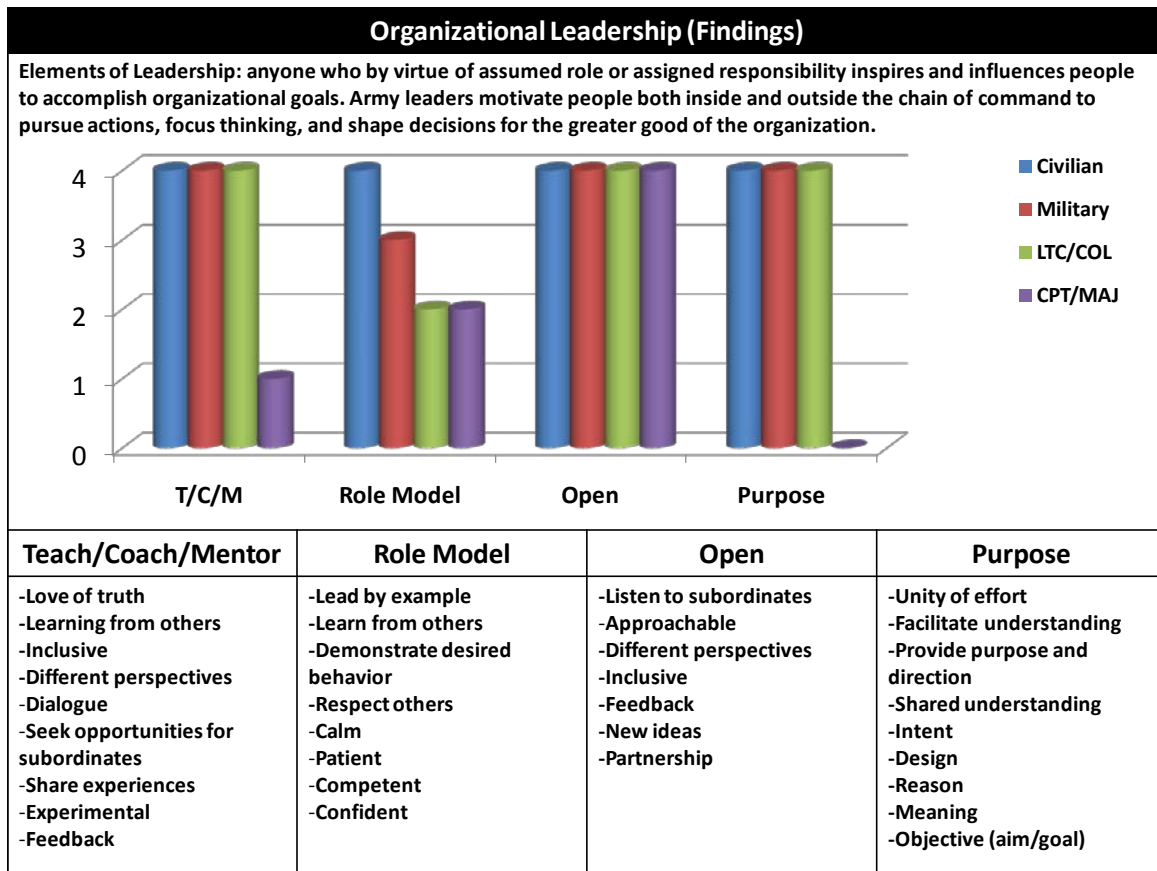


Figure 7. Example Findings Format

Source: Created by Author.

The next section discusses the methodology used for the analysis of literature and BCT Leader interview findings to answer the primary and secondary research questions for this study.

### Analytic Methods

Two analytic methods were selected for use by the researcher: “holistic perspective and creative synthesis (Johnson 2002). Since the purpose of the study was to enhance BCT adaptability, the holistic perspective required the exploration of emergent data with the aim of understanding the whole phenomena as a complex system of

interrelationships (Johnson 2002). As organizations are numbers of people interacting on a daily basis; utilizing a holistic perspective was critical to understanding organizational behavior of an adaptive nature, other associated phenomenon, and internal and external organizational influences that affect adaptive behavior. The research framework categories assisted the researcher with employing the holistic approach by enabling the collection and presentation of findings for each organizational component and supportive adaptive behavior.

Creative synthesis required the researcher to consolidate collected data using the methodology previously described, creating a coherent whole. To accomplish this, the researcher grouped findings utilizing the following categories and criterion:

1. Dominant themes common to military and private industry literature and BCT leaders. (Criterion: 4 of 4 groups addressed the theme with at least 3 of 4 individual sources providing data associated with the theme.)

2. Themes most common to military and private industry literature and BCT leaders. (Criterion: 3 of 4 groups addressed the theme with at least 3 of 4 individual sources providing data associated with the theme.)

3. Themes most common to private industry and military literature only. (Criterion: at least 3 of 4 individuals in each specified group source provided data associated with the theme)

Category 1, represented the most dominant themes and was identified by the researcher as the most desirable practices, characteristics and capabilities associated with enhancing adaptive behavior. Category 2, represented the most common themes and was identified by the researcher as areas that should be an immediate focus for development

or use by BCTs, but would require less effort because the theme was already prominent within the organization. Category 3, represented themes most common to the Army and private industry literature only, and were identified by the researcher as gaps between BCT leaders and Army doctrine that required immediate focus and most likely considerable effort to implement, as the theme was not as prominent.

Based on the findings from inductive analysis, the researcher planned to leverage his experiences as a Platoon Leader, Company Executive Officer, Battalion Supply Officer, Company Commander, Battalion Operations Officer and BCT Operations Officer to interpret the research findings, discuss implications of findings, and recommend discovered practices for enhancing BCT adaptability and areas for future study.

### Summary

This chapter discussed the research methodology implemented by the researcher to support the requirement for Army BCT adaptability by exploring selected contemporary private industry and military methodologies and practices to assist in defining “adaptive behavior”; and enhancing this behavior at the organizational level. The phenomenological approach was used to identify patterns, themes and interrelationships through the literature review and interviews with Army BCT leaders. Chapter 4 presents the findings from the Army BCT leader interviews and analysis to support the research questions. Chapter 5 presents strategies from private industry and Army BCT leaders that could be implemented to enhance adaptability, and provides recommendations for areas of future study.

## CHAPTER 4

### ANALYSIS

#### Introduction

Today's operational environment consists of "uncertainty, chance, friction, and complexity" (FM 3-0 2008, 1-16). "Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly" (FM 7-0 2008, 1-5). In response to these operational environment characteristics, Brigade Combat Teams; the Army's basic tactical maneuver units; must be able to "learn constantly from experience (their own and others) and apply new knowledge to each situation" (FM 7-0 2008, 1-5). Additionally, BCTs must be able to balance the skills of "expeditionary agility and responsiveness with physical endurance and adaptability" (FM 3-0 2008, 1-17).

The purpose of this study was to support the requirement for BCTs and their subordinate organizations to adapt to the operational environment. The aim of this study was to discover strategies and practices that could be implemented by BCT leaders to enhance their organizational adaptability. This discovery was accomplished by exploring contemporary private industry and Army literature; interviewing current and former BCT leaders; and utilizing the researcher's BCT experience to gain insight into the essence, meaning, and practices of fostering adaptive behavior within an organization.

This chapter presents the findings from the researcher's inductive analysis of data collected from the review of private industry and military literature, and BCT leader interviews, to discover answers to the primary and secondary research questions. This chapter was organized utilizing the research framework in the following manner:



1. Dominant descriptions of adaptive behavior and the supporting behaviors of self-organization, learning and organizational intelligence.
2. Dominant strategies used to enhance adaptive behavior within an organization.
3. Dominant characteristics of organizational structures that support adaptability.
4. Dominant characteristics of organizational culture that support adaptability.
5. Dominant characteristics of organizational climate that support adaptability.
6. Dominant Leader characteristics that support adaptability.
7. Dominant barriers to adaptive behavior and adaptability.
8. Summary of major findings

For each research framework category, the findings were further categorized utilizing the following categories:

1. Category 1, Dominant themes common to military and private industry literature and BCT leaders. Criterion: 4 of 4 groups addressed the theme with at least 3 of 4 individual sources providing data associated with the theme. The four groups are as follows:

Group 1: Four Private Industry literature sources.

Group 2: Four Military literature sources.

Group 3: Lieutenant Colonels and Colonels (BCT leaders).

Group 4: Captains and Majors (BCT leaders).

2. Category 2 - Themes most common to military and private industry literature and BCT leaders. Criterion: 3 of 4 groups addressed the theme with at least 3 of 4 individual resources providing data associated with the theme.

3. Category 3 - Themes most common to private industry and military literature only. (Criterion: at least 3 of 4 individuals in each specified group source provided data associated with the theme)

Formats used for data collection and analysis can be found in Appendix B to this study. BCT Leader summarized interview findings used for analysis can be found in Appendix A to this study.

### Dominant Descriptions of Adaptive Behaviors

Data collected for this category was used to answer the primary research question and reflected the descriptions of adaptive behavior identified by the researcher from the literature review, and BCT Leader responses. The researcher organized data collected into the following categories of primary and supporting behaviors:

1. Self-organization;
2. Learning;
3. Emergent Intelligence;
4. Adaptive Behavior.

### Self-Organization Findings

Figure 8 depicts the findings for the Self-Organization category and reflects the number of individuals by source group that provided associated data.

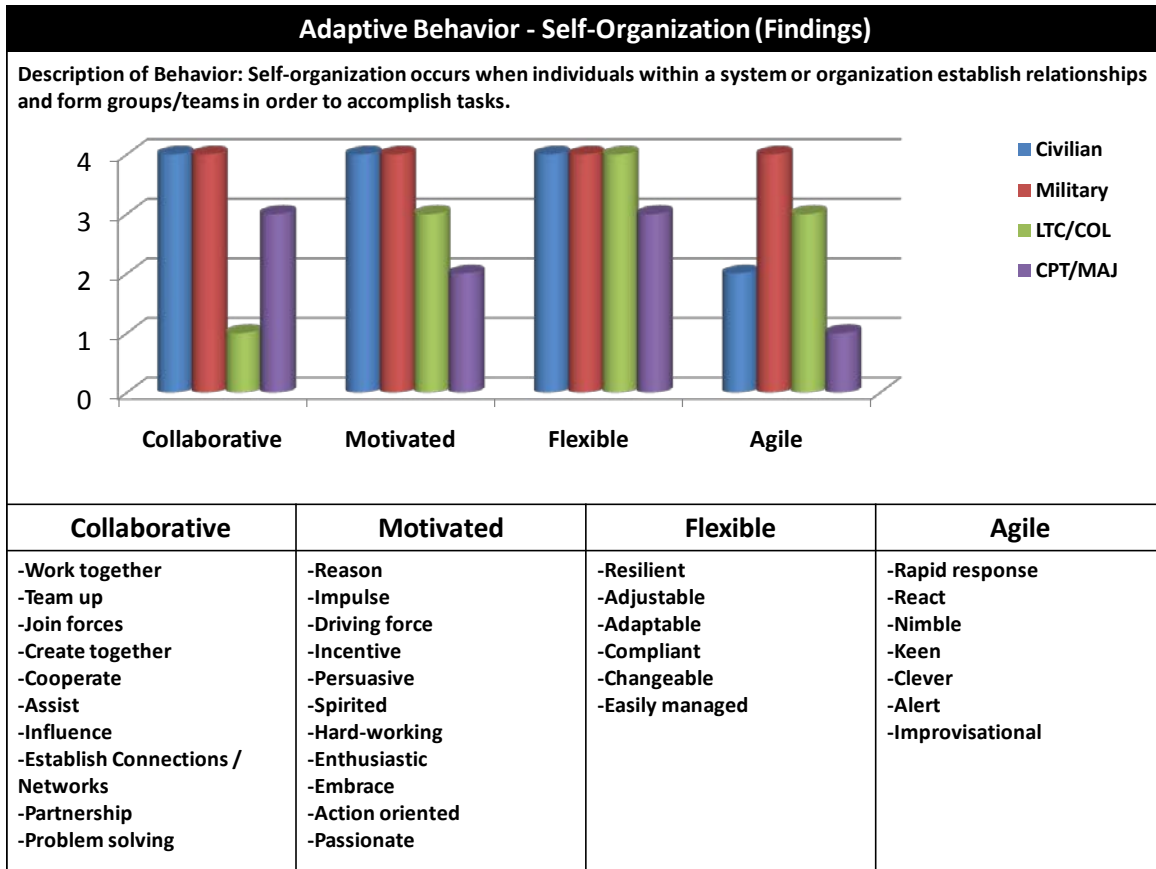


Figure 8. Self-Organization Findings

Source: Created by Author.

Category 1: The dominant theme among military and private industry literature and BCT leaders was “flexibility.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “collaborative” and “motivated.”

Category 3: No the theme most common only to private industry and military literature was identified.

Researcher observations/comments: Agile was common only to military literature and BCT leaders. All private industry literature sources acknowledged that speed of

action was important; however, two sources suggested that speed results from time, and proficiency increased with processes and procedures, and therefore did not emphasize speed. Additionally, the researcher noted the difference in emphasis among the BCT leaders. Specifically, the CPT/MAJ source group emphasized collaboration, where the LTC/COL source group emphasized agility.

### Learning Findings

Figure 9 depicts the findings for the Learning category and reflects the number of individuals by source group that provided associated data.

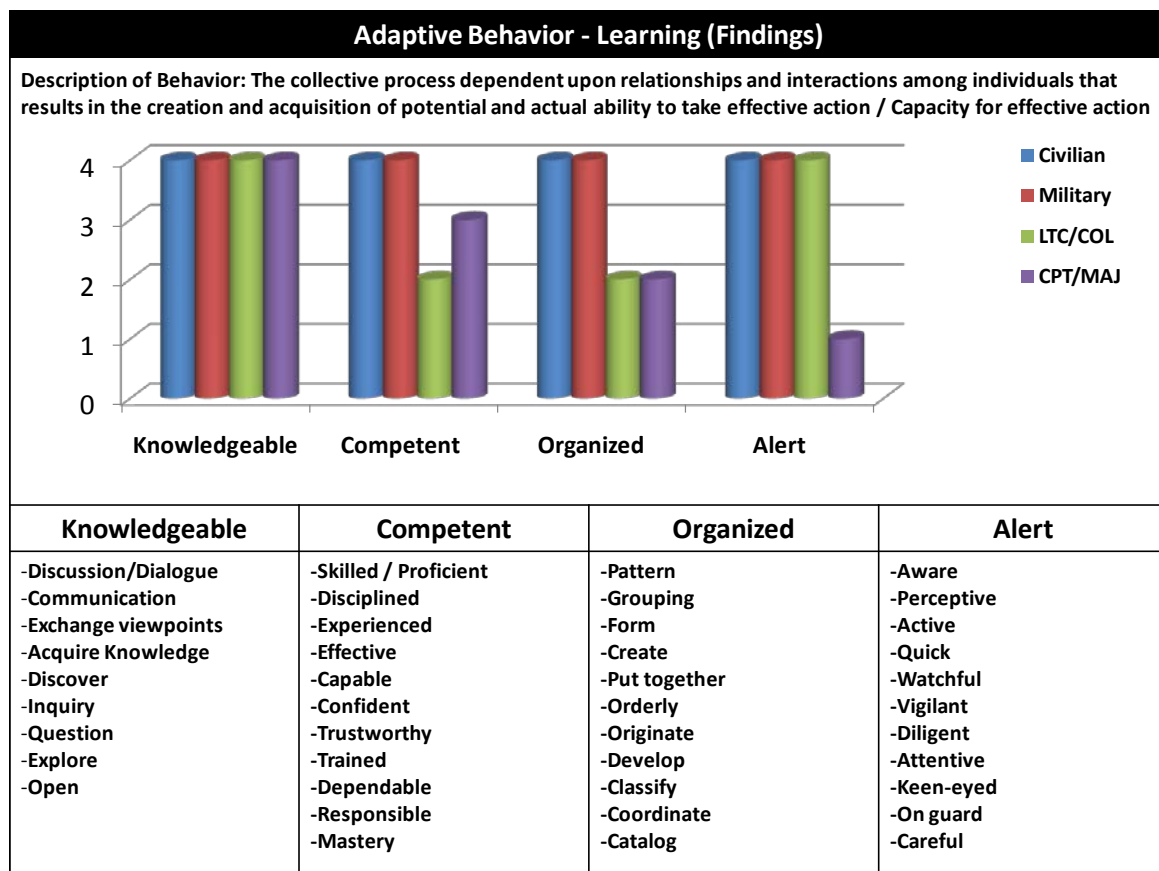


Figure 9. Learning Findings

Source: Created by Author.

Category 1: The dominant theme among military and private industry literature and BCT leaders was “knowledgeable.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “competent” and “alert.”

Category 3: The theme most common only to private industry and military literature was “organized.”

Researcher observations/comment: The researcher noted the lack of focus on “alertness” by the CPT/MAJ group.

### Intelligence Findings

Figure 10 depicts the findings for the Organizational Intelligence category and reflects the number of individuals by source group that provided associated data.

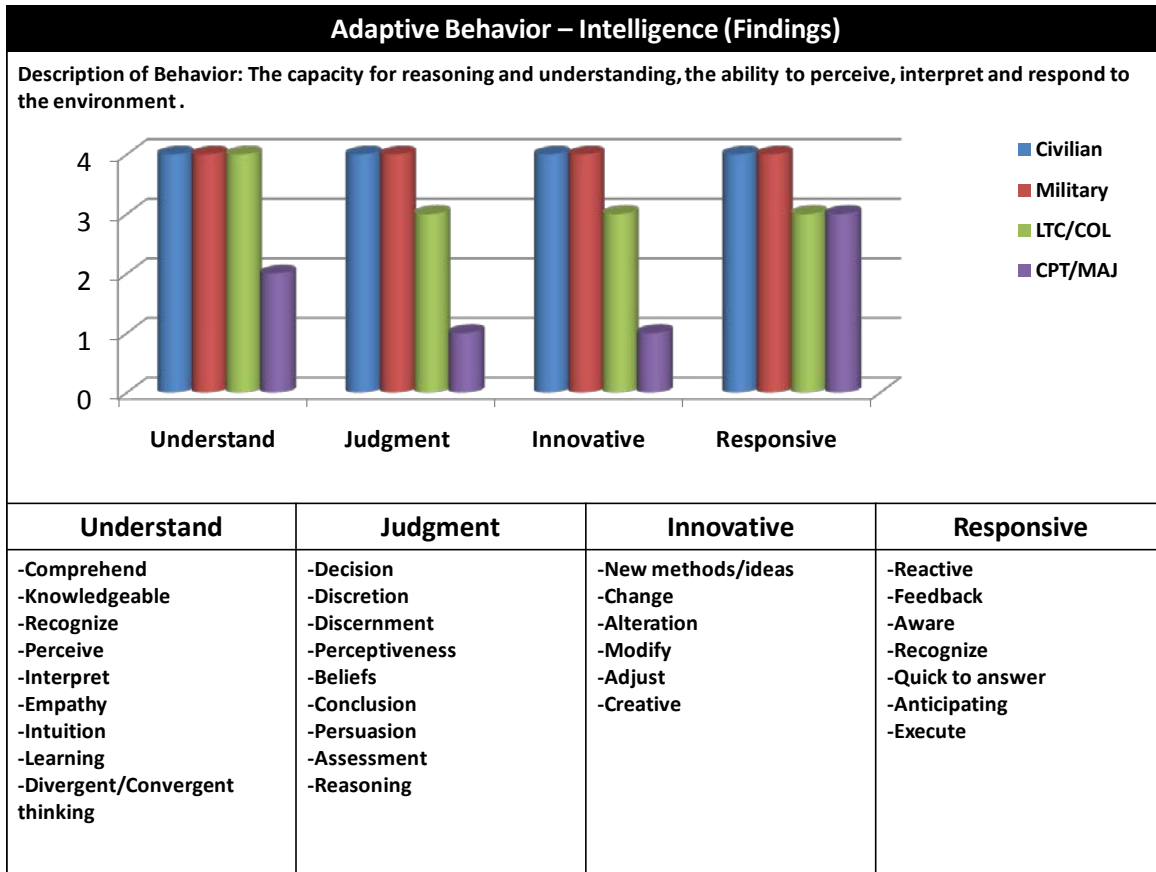


Figure 10. Intelligence Findings

Source: Created by Author.

Category 1: The dominant theme among military and private industry literature and BCT leaders was “responsive.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “understand,” “judgment,” and “innovative.”

Category 3: No theme most common only to private industry and military literature was identified.

Researcher observations/comments: The researcher noted the LTC/COL source group consistency across all themes, and the CPT/MAJ source group’s greater emphasis on “responsive.”

### Summary of Findings for Adaptive Behavior

Figure 11 depicts the consolidated findings for Adaptive Behaviors and reflects the number of themes by behavior in which the source groups had three or more individuals provide associated data.

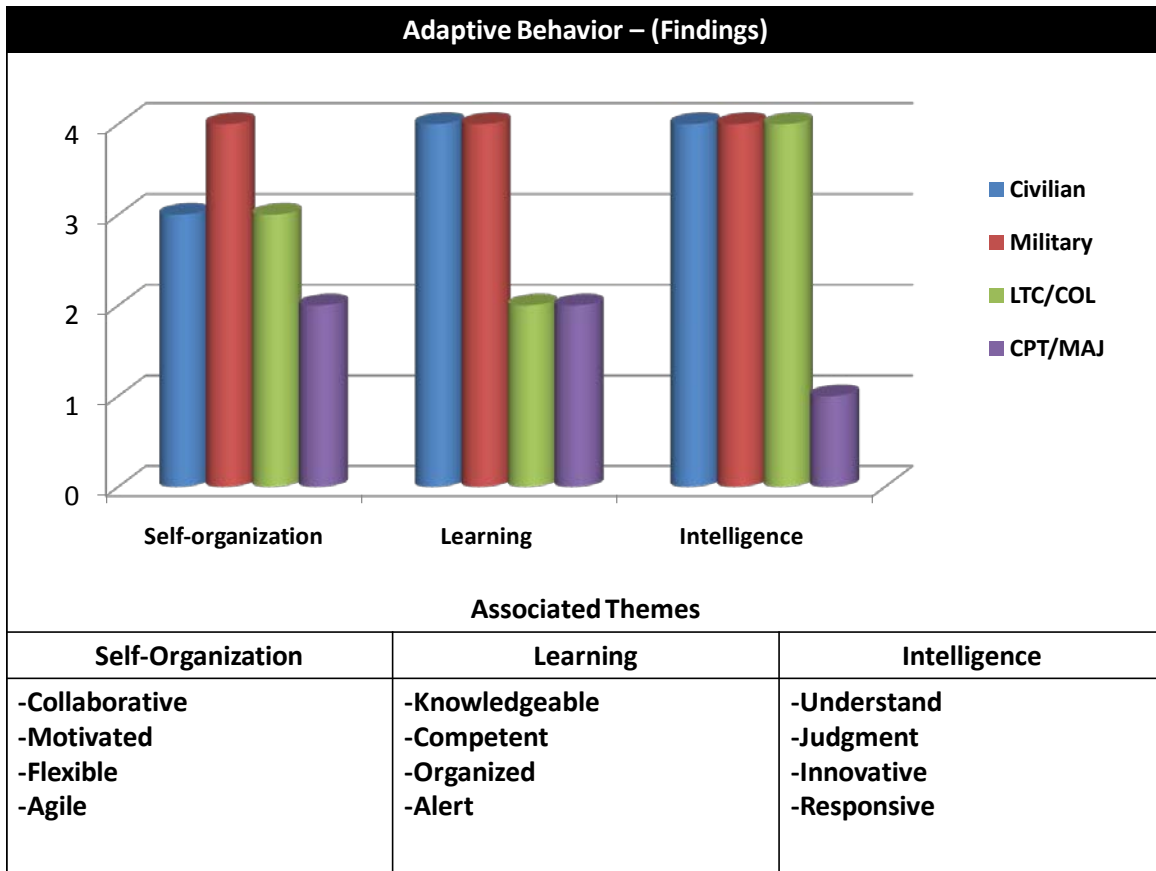


Figure 11. Adaptive Behavior Findings

Source: Created by Author.

The most dominate themes for adaptive behaviors were “flexible,” “knowledgeable,” and “responsive.” Additionally, most common behavior focuses were “self-organization” and “intelligent behavior.”

It was important to note that the researcher organized the BCT leader responses by behavior; as BCT leaders were asked to provide descriptions of an adaptive organization, but were not instructed to categorize their responses by supporting adaptive behavior. Additionally, the researcher did not expect BCT Leader responses to be as descriptive or inclusive as the literature sources due to the limited time available for each interview.

It was important for this study to capture the responses of the BCT leaders and the descriptions that immediately came to their mind when presented with secondary research question #1. The researcher did note the minimal emphasis by both BCT Leader groups on “learning” behavior. Also noted was the LTC/COL source group demonstrated greater emphasis on “intelligent” behavior as compared to the CPT/MAJ group.

#### Dominant Strategies for Enhancing Adaptability

Figure 12 depicts the findings for strategies to enhance adaptability and reflects the number of individuals by source group that provided associated data.



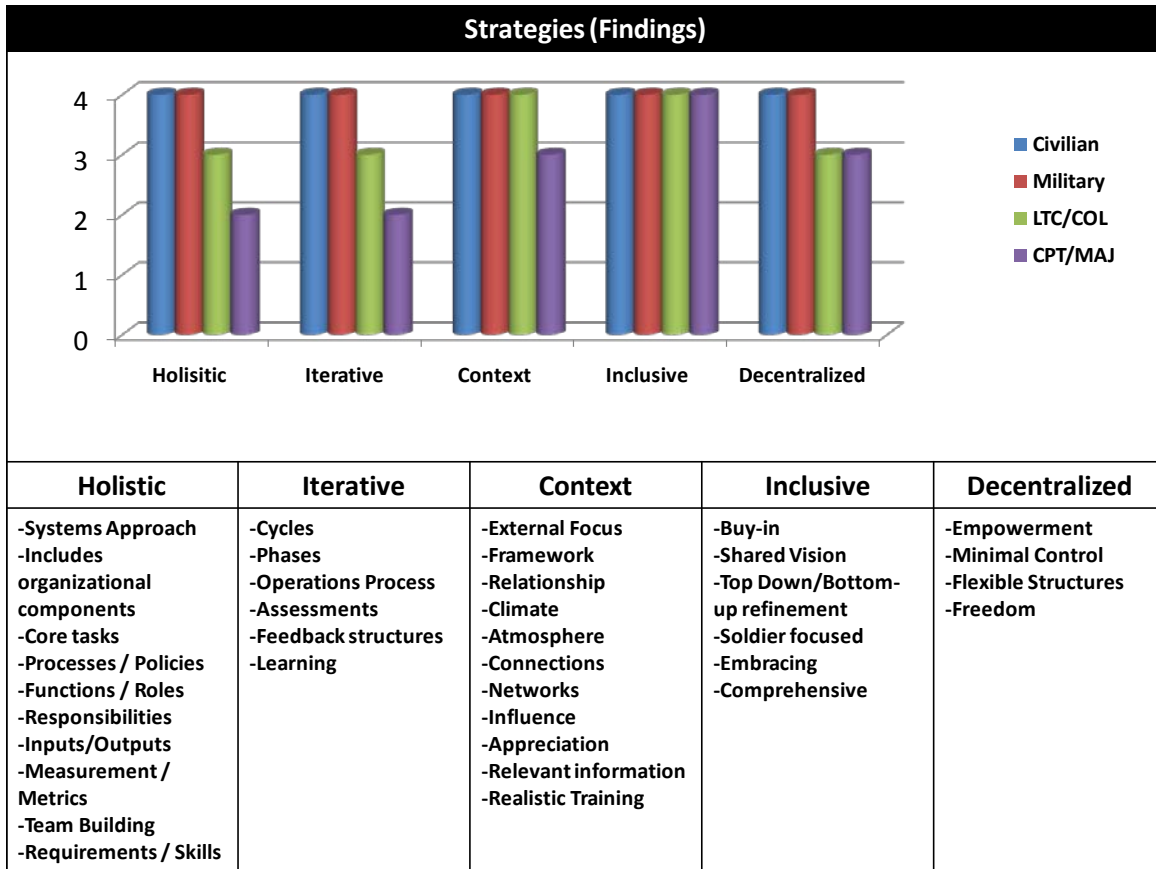


Figure 12. Strategies for Enhancing Adaptive Behavior Findings  
*Source:* Created by Author.

Category 1: The dominant themes among military and private industry literature and BCT leaders were “context” and “inclusive.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “holistic,” “iterative,” and “decentralized.”

Category 3: No theme most common only to private industry and military literature was identified by the researcher.

Researcher observations/comments: This strategy category was difficult to analyze due to the depth and breadth of practices provided by private industry and

military literature, and the lack of depth and breadth provided by the BCT leaders. However, the researcher expected this outcome as a result of the limited time for the interview. Several BCT leaders described a strategy that addressed all organizational components and practices while others provided characteristics, capabilities and behaviors that were either desirable or prevented adaptability. Upon analysis, to account for this variation, the researcher took into account both positive and negative attributes; meaning, if a BCT Leader addressed all the organizational components and provided any data associated with any of the strategy themes listed above, credit was awarded. The intent of this category was to capture which practices were associated with adaptability, whether executed effectively or ineffectively in the opinion of the BCT Leader. Additionally, the BCT leaders resulted in the addition of two strategies: “Inclusive” and “Decentralized.”

Of importance to the study was to note that two Lieutenant Colonels described strategies designed to change the organizational culture. Relevance of this observation was that while the majority of BCT leaders addressed issues associated with culture, only two discussed changing the culture. All primary private industry literature sources used for this study presented methods for influencing organizational culture change.

#### Dominant Characteristics of Organizational Structures that Support Adaptability

Figure 13 depicts the findings for characteristics’ of organizational structures that support adaptability and reflects the number of individuals by source group that provided associated data.

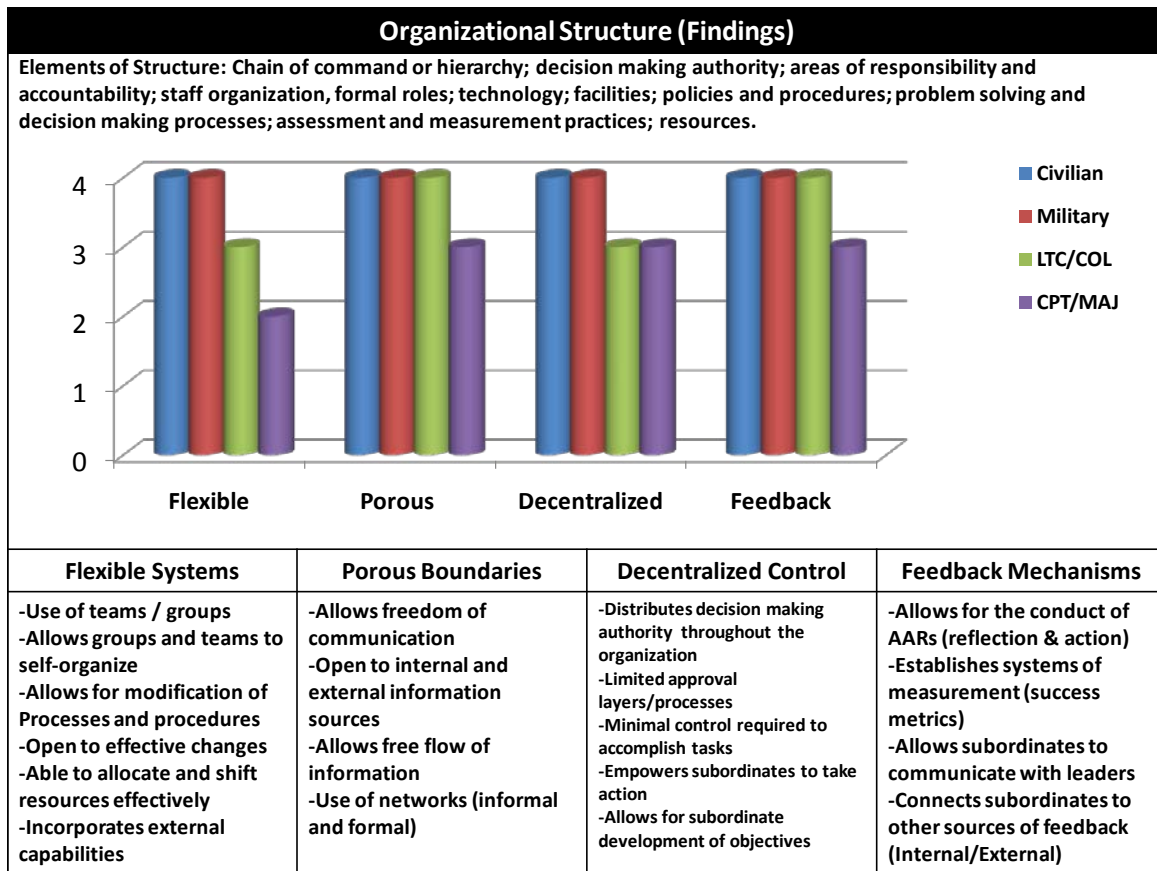


Figure 13. Organizational Structure Findings

Source: Created by Author.

Category 1: The dominant themes among military and private industry literature and BCT leaders were “porous,” “decentralized,” and “feedback.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “flexible.”

Category 3: No theme most common only to private industry and military literature was identified by the researcher.

Researcher observations/comments: It was important to note that the terms “decentralized” and “flexible” were often used by all research data sources, but not

within the same context. It was the researcher’s interpretation that “decentralized” was used more often to convey “empowerment” of subordinates or employees; and “flexible” was used more often to convey the ability of subordinates and employees to make changes to the organizational structures.

### Dominant Characteristics of Organizational Culture that Support Adaptability

Figure 14 depicts the findings for characteristics’ of organizational culture that support adaptability and reflects the number of individuals by source group that provided associated data.

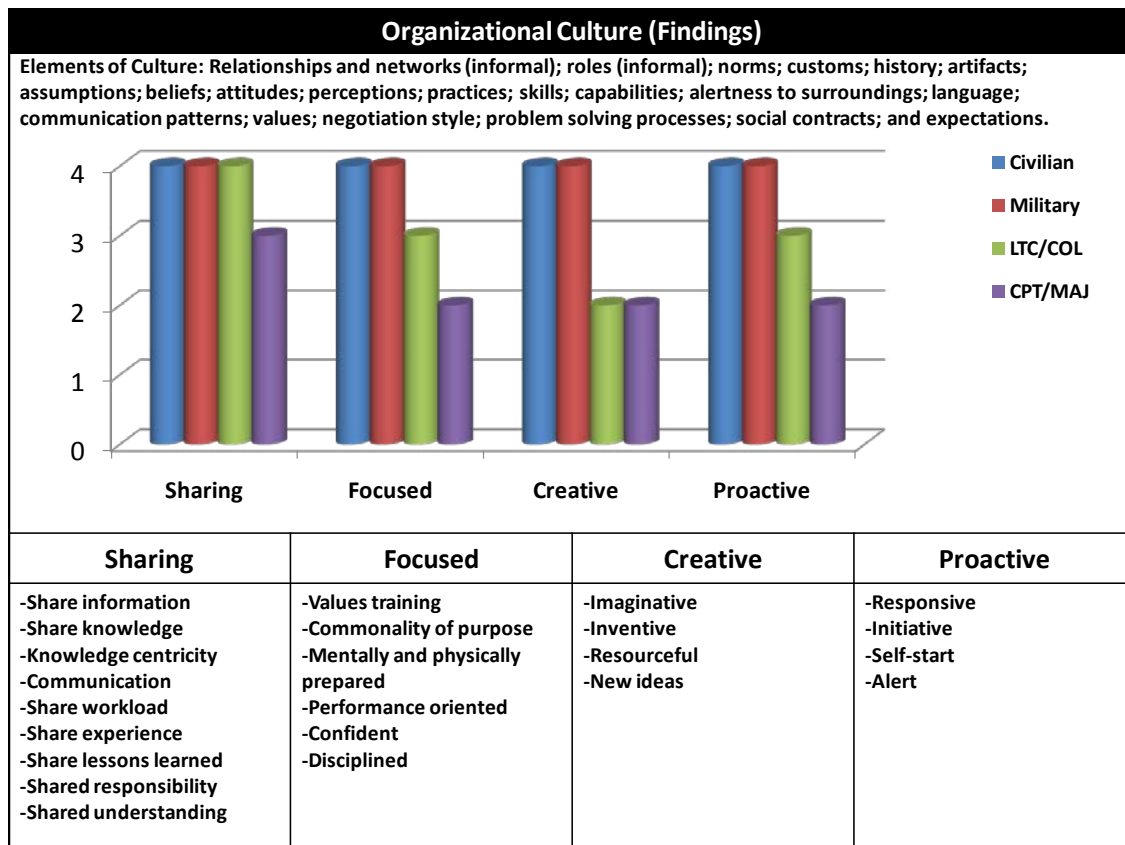


Figure 14. Organizational Culture Findings

*Source:* Created by Author.

Category 1: The dominant theme among military and private industry literature and BCT leaders was “sharing.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “focused” and “proactive.”

Category 3: The theme most common only to private industry and military literature was creative.

Researcher observations/comments: The researcher noted that lack of use of the term creative by BCT leaders. However, the phrases “new ideas” and “sharing ideas” were interpreted by the researcher to imply being creative, or at least enabling creative thinking.

#### Dominant Characteristics of Organizational Climate that Support Adaptability

Figure 15 depicts the findings for characteristics’ of organizational climate that support adaptability and reflects the number of individuals by source group that provided associated data.

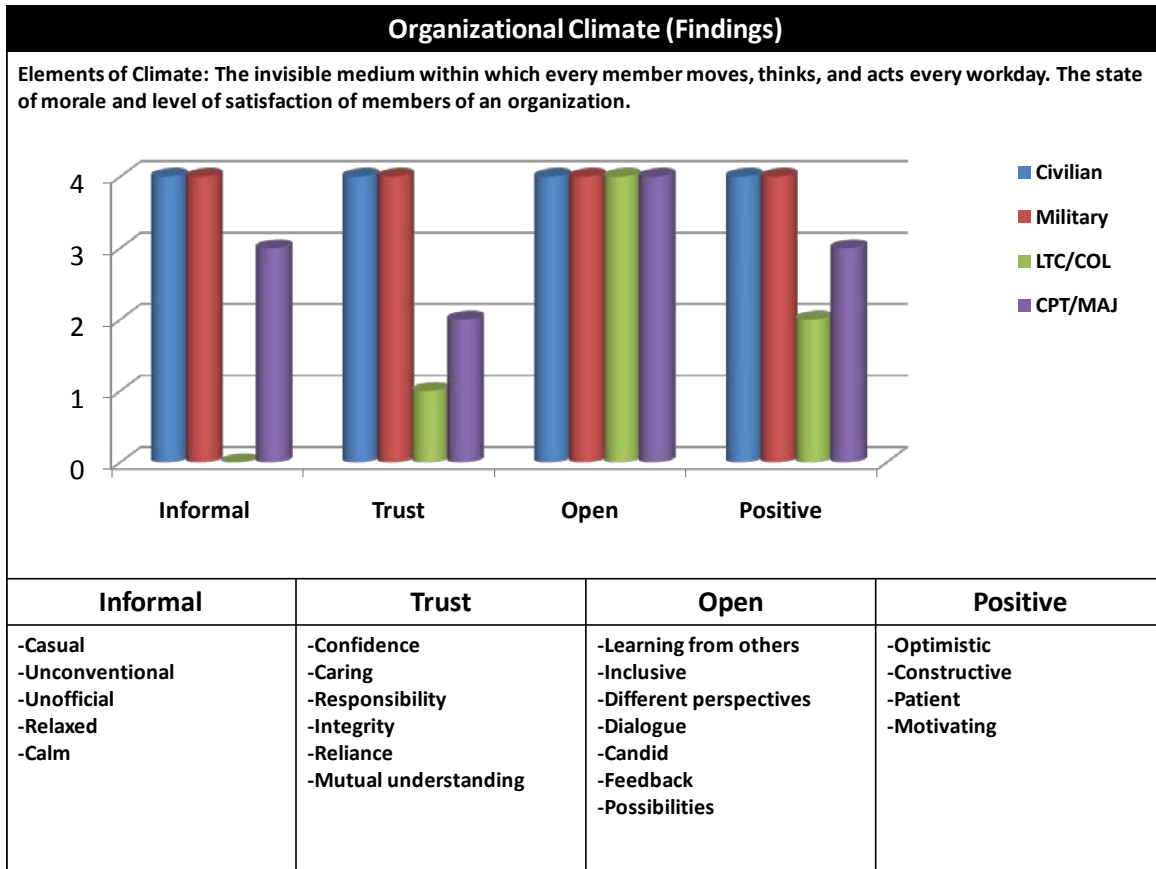


Figure 15. Organizational Climate Findings

Source: Created by Author.

Category 1: The dominant theme among military and private industry literature and BCT leaders was “open.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “informal,” “trust” and “positive.”

Category 3: No theme most common only to private industry and military literature was identified.

Researcher observations/comments: The researcher noted that lack of use of the term “trust” by BCT leaders; only one BCT leader used this specific term. From the

researcher's observations, the term open was interpreted to mean an all inclusive term used by BCT leaders; at least, it was the most common term used when describing desired characteristics in leaders and the organizational climate. However, private industry and military literature used the terms "informal," "trust," "open" and "positive" to describe the organizational atmosphere.

### Dominant Leader Characteristics that Support Adaptability

Figure 16 depicts the findings for characteristics' of organizational leadership that support adaptability and reflects the number of individuals by source group that provided associated data.

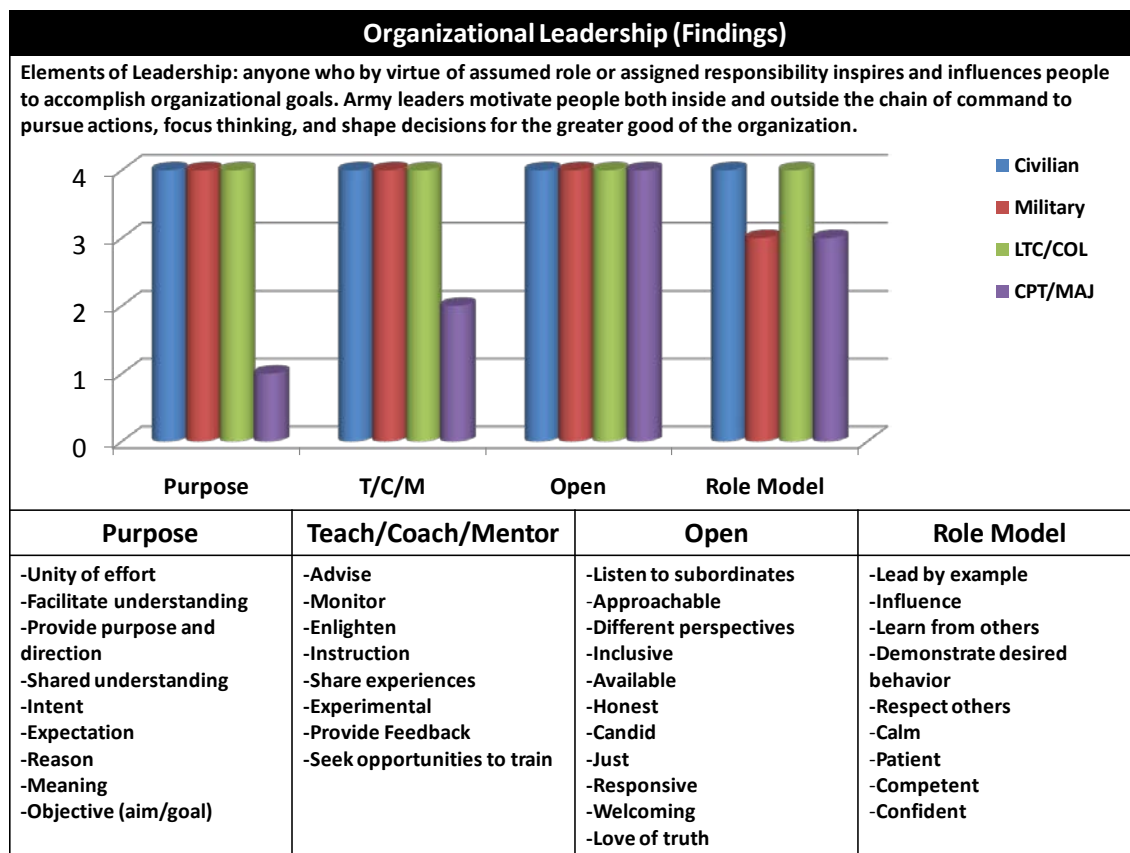


Figure 16. Organizational Leadership Findings

Source: Created by Author.

Category 1: The dominant themes among military and private industry literature and BCT leaders were “open” and “role model.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “purpose” and “teach/coach/mentor.”

Category 3: No theme most common only to private industry and military literature was identified.

Researcher observations/comments: The term “open,” again emerged as a dominate theme. The researcher also noted the lack of the CPT/MAJ source group to use the terms associated with “purpose.”

#### Dominant Barriers to Adaptability

Not all BCT leaders mentioned barriers to adaptability during their interviews. Several BCT leaders described a barrier as failure to execute the strategies and/or demonstrate the characteristics and capabilities they personally provided during the interview. To frame a holistic understanding of barriers to adaptability, the researcher developed the following chart to capture barriers that had been discussed by BCT leaders. Each BCT leader in the CPT/MAJ source group and two BCT leaders in the LTC/COL source group provided a response to research question #3. Selection criteria employed for analysis in this study was still applied to this category, but due to the lack of data collected from two of the eight BCT leaders, the identified themes had decreased accuracy. The researcher compared the BCT leader data with data collected from private industry and military literature. Each literature source described barriers similar to those described by participating BCT leaders.



Figure 17 was developed to depict the findings for Barriers to Organizational Adaptability based on collected data. Additionally, collected data was categorized by organizational component, with terms used by BCT leaders depicted under the term association matrix. The chart reflects the number of themes by organizational component in which the source groups had one or more individuals provide associated data.

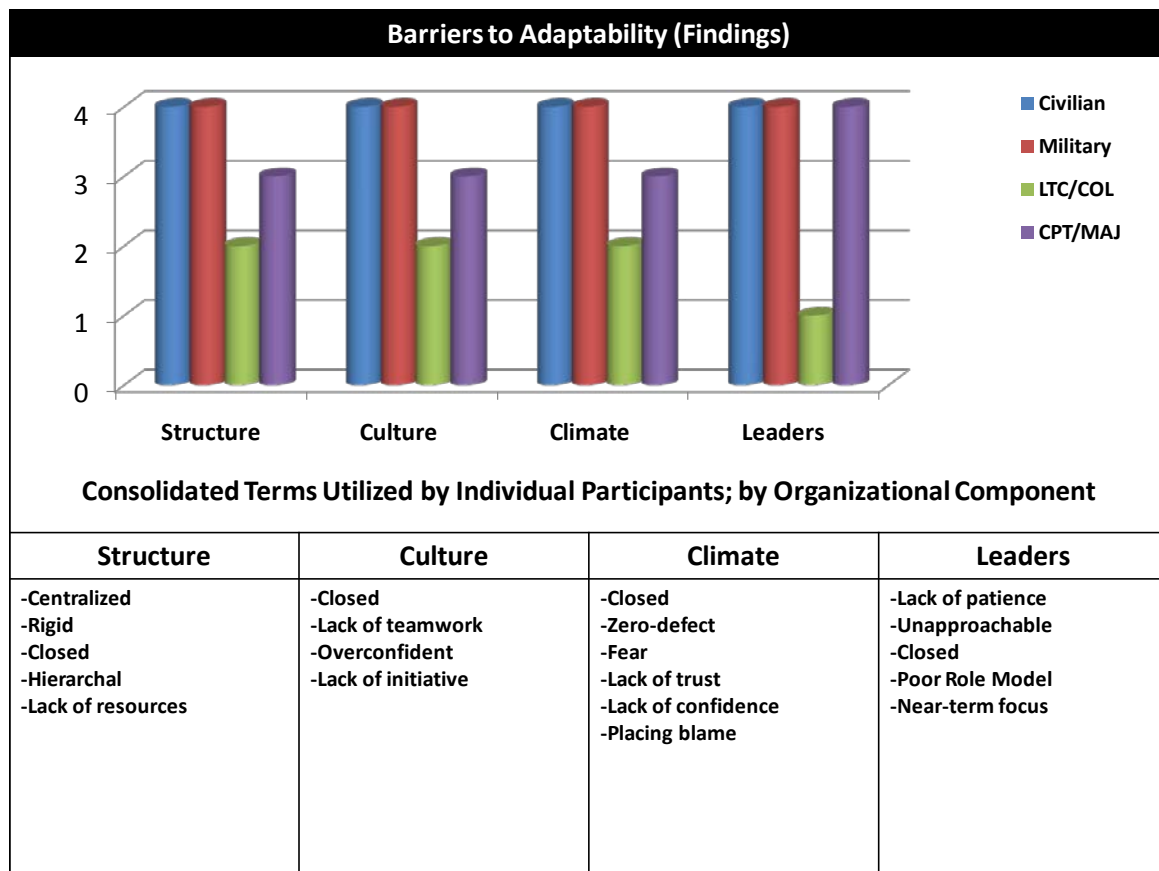


Figure 17. Barriers to Adaptability Findings

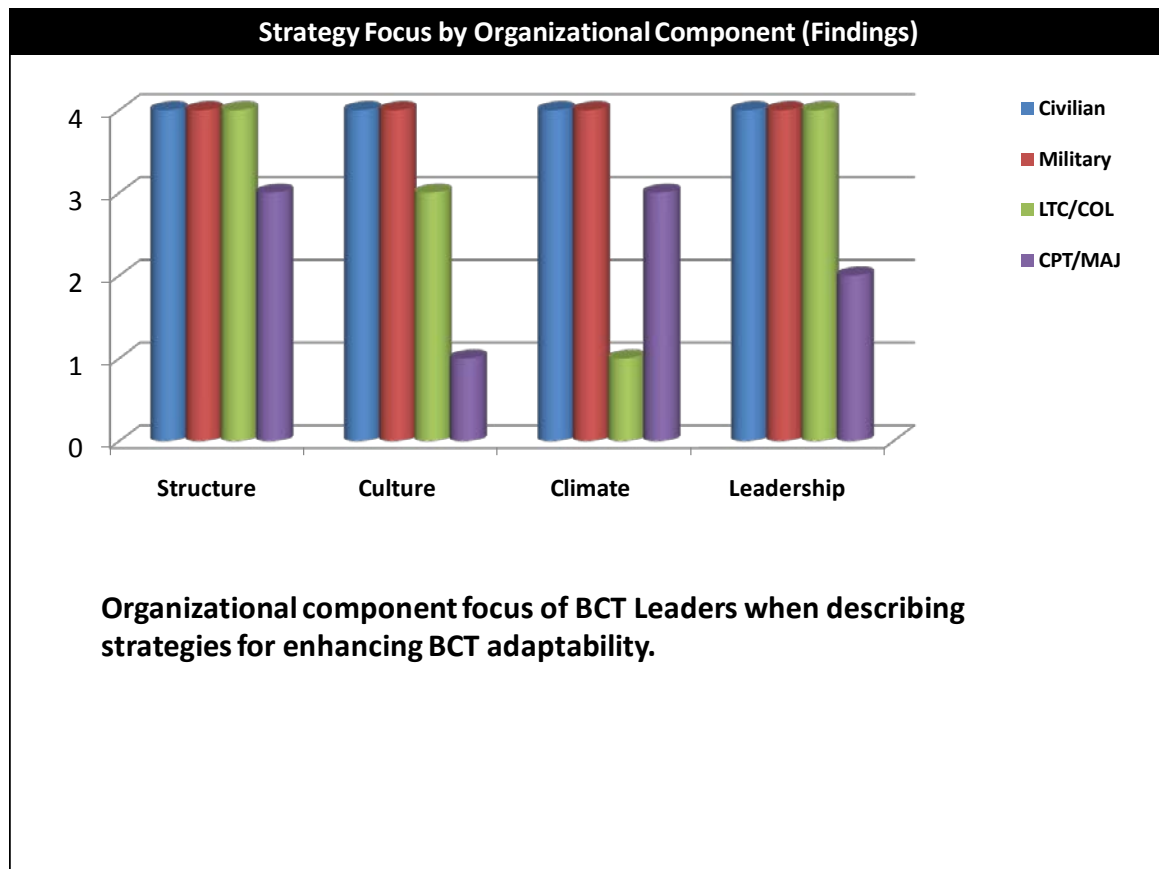
Source: Created by Author.

Category 1: No dominant theme was indentified.

Category 2: The themes most common to private industry and military literature and BCT leaders were “structure,” “culture,” “climate” and “leadership.”

Category 3: No theme most common only to private industry and military literature was identified.

Researcher observations/comments: What was noted by the researcher was that BCT leaders addressed barriers associated with each organizational component. To gain a greater understanding of barriers to adaptability with respect to recommended strategies, the researcher developed the following chart (figure 18) which depicts the number of themes by organizational component in which the source groups had three or more individuals provide associated data when describing their strategies for enhancing adaptability.



Strategy Focus by Organizational Component  
*Source:* Created by Author.

Category 1: The dominant theme among military and private industry literature and BCT leaders were “structure” and “leadership.”

Category 2: The themes most common to private industry and military literature and BCT leaders were “culture” and “climate.”

Category 3: No theme most common only to private industry and military literature was identified.

Researcher observations/comments: What was noted by the researcher was the emphasis on “culture” and the lack of emphasis on “climate” by the LTC/COL source group. Also noted was the opposite emphasis of the CPT/MAJ group, which focused more on “climate” and less on “culture.”

### Summary of Major Findings

This section summarizes the researcher’s major findings and is organized utilizing the following topics: (1) summary of themes by analysis category; (2) summary of identified patterns; and (3) meaning, essence, and structure of adaptability.

### Summary of Major Themes

Figure 19 presents the research findings utilizing the term association matrix developed for this study.

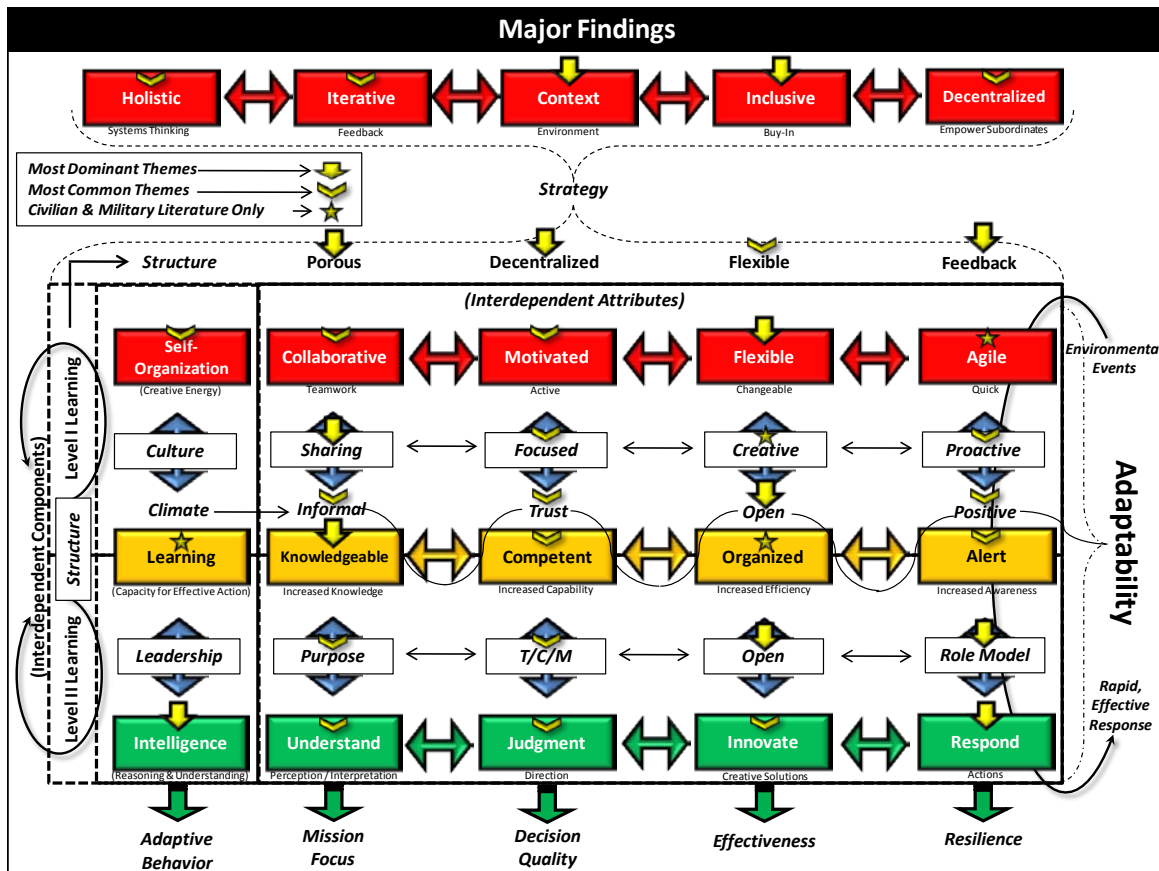


Figure 18. Major Findings-Term Association and Relationship Diagram  
Source: Created by Author.

Category 1 themes are depicted by the arrow, and represent the dominant themes which were identified by the researcher as the most desirable practices, characteristics and capabilities associated with enhancing adaptive behavior.

Category 2 themes are depicted by the chevron and represent the most common themes identified by the researcher; and represent areas that the majority of the leaders were focused on, but require emphasis to enhance adaptability.

Category 3 themes were “learning,” “creative,” and “organized”; and represented themes most common only to Army and private industry literature, and were identified by the researcher as possible gaps between BCT leaders and Army doctrine.

### Summary of Major Patterns

Patterns identified by the researcher pertained to the BCT leaders only. This was due to the purpose of the study—to enhance BCT adaptability. The researcher organized the data collection methods to account for two groups of BCT leaders. One group consisted of the Captains and a Major (CPT/MAJ) and one group consisted of Lieutenant Colonels and a Colonel (LTC/COL). The following patterns were identified by the researcher:

1. Self-organization: The LTC/COL group described more behaviors associated with self-organization than did the CPT/MAJ group.
2. Learning: The LTC/COL group described more behaviors associated with alertness than the CPT/MAJ group.
3. Intelligence: The LTC/COL group described more behaviors associated with intelligence than the CPT/MAJ group.
4. Strategy: Both groups shared the same focus and provided similar descriptions of strategies for enhancing adaptability.
5. Structures: Both groups shared the same focus and provided similar descriptions of structural characteristics that could enable adaptive behavior.
6. Culture: The LTC/COL group discussed influencing the organizational culture more than the CPT/MAJ group.

7. Climate: The CPT/MAJ group discussed climate more than the LTC/COL group.

8. Leadership: The LTC/COL group discussed purpose and teach/coach/mentor more than the CPT/MAJ group.

### Meaning, Essence, and Structure of Adaptability

#### Meaning

Several definitions of adaptability and adaptive behavior were discovered during this study. They were:

1. “The degree to which adjustments are possible in practices, processes, or structures of systems to projected or actual changes of situation” (Tillson 2005, S-1).

2. The “ability to recognize changes in the environment, identify the critical elements of the new situation, and trigger changes accordingly to meet new requirements” (FM 6-22 2006, 10-8).

3. When “an organization and its subcomponents are capable of studying and analyzing the environment and taking actions that internally adjust the organization and externally influence the environment in a manner that allows the organization to fulfill local and higher-level goals” (Bennet 2004, 26).

4. When an organization “uses local rules between interacting agents to create a higher-level behavior well suited to its environment” (Johnson 2001, 20).

5. “An effective change in behavior in response to an altered situation” (FM 6-22 2006, 10-8).

## Essence

The essence of adaptability and adaptive behavior as discovered during the review of primary literature sources and BCT leader interviews was reflected in the findings as the most dominant themes; which were:

1. Intelligent behavior.
2. Flexible organizational structures.
3. Sharing information, knowledge and experience.
4. Knowledgeable members.
5. Open (climate and leaders).
6. Leaders who model the desired behavior.
7. Responsive to the environment.

Figure 20 depicts the researcher's interpretation of the structure of adaptive behavior based on the findings from the literature review and BCT Leader interviews.

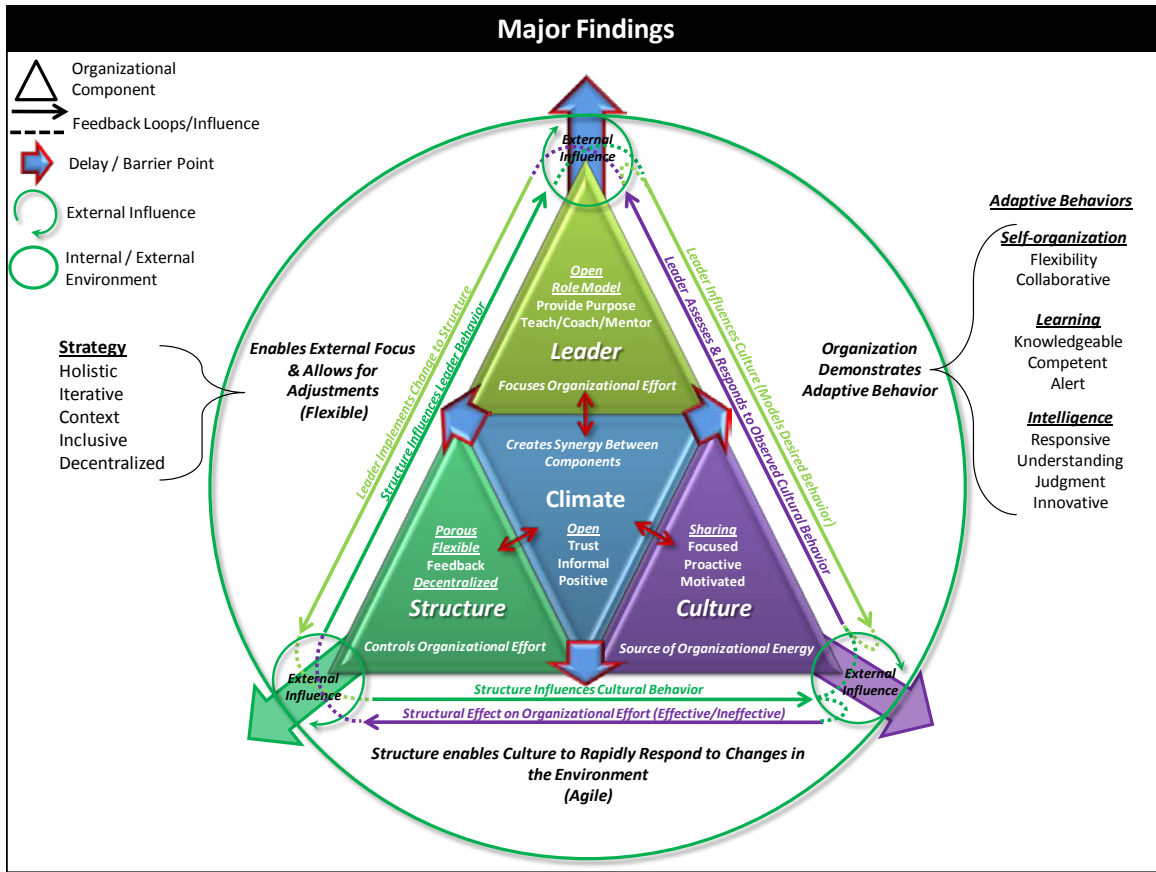


Figure 19. Major Findings-Desired Characteristics and Influences  
Source: Created by Author.

The model was developed to convey findings via a visual method and depicts the following:

1. Dominant themes by research framework category.
2. Common themes by research framework category.
3. Interrelationships of the organizational components.

This chapter presented the findings from the literature review and BCT Leader interviews to support the research questions. Chapter 5 will present possible strategies



from private industry and Army BCT leaders that could be implemented to enhance adaptability, and provide recommendations for areas of future study.

## CHAPTER 5

### CONCLUSIONS AND RECOMMENDATIONS

Water shapes its course according to the ground over which it flows; the soldier works out his victory in relation to the foe whom he is facing. Therefore, just as water retains no constant shape, so in warfare there are no constant conditions. He who can modify his tactics in relation to his opponent and thereby succeed in winning, may be called a heaven-born captain. (Phillips 1985, 36-37)

Sun Tzu

#### Introduction

Today's operational environment consists of "uncertainty, chance, friction, and complexity" (FM 3-0 2008, 1-16). "Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly" (FM 7-0 2008, 1-5). In response to these operational environment characteristics, Brigade Combat Teams; the Army's basic tactical maneuver units; must be able to "learn constantly from experience (their own and others) and apply new knowledge to each situation" (FM 7-0 2008, 1-5). Additionally, BCTs must be able to balance the skills of "expeditionary agility and responsiveness with physical endurance and adaptability" (FM 3-0 2008, 1-17).

The purpose of this study was to support the requirement for BCTs and their subordinate organizations to adapt to the operational environment. The aim of this study was to discover strategies and practices that could be implemented by BCT leaders to enhance their organizational adaptability. This discovery was accomplished by exploring contemporary private industry and Army literature; interviewing current and former BCT leaders; and utilizing the researcher's BCT experience to gain insight into the essence,

meaning, and practices of fostering adaptive behavior within an organization.

This chapter presents the conclusions and recommendations based on the interpretation of the findings from this study. The chapter is organized in the following manner:

1. The Essence and Meaning of Organizational Adaptability
2. The Interrelationships of Organizational Adaptive Behavior
3. The Interrelationships of the Organizational Components
4. Strategies for Enhancing Organizational Adaptability
5. BCT Leader's Role in Enhancing Organizational Adaptability
6. Barriers to Enhancing Organizational Adaptability
7. Interpretation Based on Experienced Barriers to Adaptability
8. Current BCT Leader Practices for Enhancing Organizational Adaptability
9. Research Challenges
10. Recommendations for Future Areas of Study
11. Chapter Summary

### The Essence and Meaning of Adaptability

#### Essence

The essence of organizational adaptability is the ability to demonstrate a macro-level adaptive behavior. Adaptive behavior is when an organization “uses local rules between interacting agents to create a higher-level behavior well suited to its environment” (Johnson 2001, 20). Adaptive behavior consists of three supporting emergent behaviors which are: self-organization, learning, and organizational intelligence. Each adaptive behavior is interdependent upon the other; therefore focusing

on one alone will not result in the emergence of a macro-level, or organizational level, adaptive behavior; such as the ability to act quickly, demonstrate organizational flexibility and execute any task across the spectrum of conflict (FM 3-0, 2008).

To enhance organizational adaptive behavior, leaders must first understand the interrelationships of the supporting adaptive behaviors and organizational components. With this understanding, leaders must implement an organizational strategy that aligns the organizational components of leadership, climate, culture and structure in such a manner that enables the emergence of supporting adaptive behaviors. Finally, leaders must be able to recognize and resolve barriers that prevent the emergence of supporting adaptive behaviors. It is through this understanding and practice that leaders can enhance their organization's ability to adapt.

### Meaning

The meaning of individual adaptability according to Army doctrine is “an individual's ability to recognize changes in the environment, identify the critical elements of the new situation, and trigger changes accordingly to meet new requirements” (FM 6-22 2006, 10-8). In contrast, Bennet describes organizational adaptability as when “an organization and its subcomponents are capable of studying and analyzing the environment and taking actions that internally adjust the organization's components and externally influence the environment in a manner that allows the organization to fulfill local and higher-level goals” (2004, 26).

While both definitions capture the essence of adaptive behavior, I prefer the definition provided by Bennet with respect to a BCT and its subordinate organizations (2004). It has been my experience that simply grouping adaptive individuals together

does not always yield adaptive behavior at the team and/or organizational level. This is most likely due to several barriers that prevent the emergence of supporting adaptive behaviors. As discovered during this study the most common barriers to adaptability reside within the organization's strategy and practices which fail to align the organizational components in such a manner that enables the emergence of supporting adaptive behaviors. I believe this failure results from a lack of awareness of supporting adaptive behaviors and the manner in which organizational components influence each other and supporting adaptive behaviors.

### Interrelationships of Supporting Adaptive Behaviors

Knowledge of the supporting adaptive behaviors that indicate the potential for an organization to demonstrate adaptive behavior would be important for a leader to recognize. An effective leader would seek a deeper understanding of strategies and practices to foster the collective emergence of: self-organization; learning; and organizational intelligence in their organization.

### Self-Organization

Self-organization is the act of individuals within an organization using local rules to accomplish tasks and respond to the external environment. In Army terms this behavior is known as teamwork and/or collaboration. This behavior simply occurs; represents the way work gets done within the organization; and demonstrates the characteristics of the organization's culture; specifically, the local rules used by individuals to accomplish tasks and respond to the internal and external organizational environment. Self-organization is the organization's source of creative energy; as

numerous individuals work together creating and combining ideas to accomplish tasks and respond to the environment. When fostered within the organization, self-organization results in greater collaboration, motivation, flexibility and agility; but if left unfocused, could result in utter chaos and organizational failure. To prevent chaos and failure from occurring, self-organization requires structure and organization; and to be effective requires the individuals and teams within the organization to learn and demonstrate intelligent behavior.

### Learning

Learning is the creation and acquisition of the potential, and the ability, to take effective action. In essence, learning provides an organization with the capacity to sense and effectively respond to the environment through the creation of knowledge and increased awareness. This behavior occurs at two levels: Level I and Level II. Level I learning is simply what the individual and team can do; their collective skill set and capability obtained from training. Level I learning is the realm of detecting and correcting individual and team behavior in response to an event, that results in a change of behavior at a single point in time. Level II learning is the development of the capacity to produce effective results over time. Level II learning is the realm of changing individual or team behaviors through questioning underlying assumptions, beliefs, norms, procedures, policies, and objectives. Level II learning results in individuals and teams understanding why an action was effective or ineffective and produces an increase in knowledge and competence; more effective organization; and awareness. Level II learning leads to a long-term change in behavior and a greater capacity for more effective response to

events. As such, Level I and Level II learning are necessary to enable the emergence of intelligent behavior which enables more effective self-organization.

### Organizational Intelligence

Organizational intelligence is the ability to reason and understand; which enables the organization to perceive, interpret and respond more effectively to the environment. Fostering the emergence of this behavior will improve the organization's ability to perceive, interpret, demonstrate sound judgment, effectively innovate, and respond to the environment. Additionally, this behavior enables individuals and teams to more effectively self-organize and increases awareness of what must be learned and understood.

### Collective Manifestation of Supportive Adaptive Behaviors

Together supportive adaptive behaviors can enhance an organization's adaptability by resulting in improved mission focus, decision quality, effectiveness of actions, and resilience to change. Figure 21 depicts the interrelationships of the three supporting adaptive behaviors using a systems diagram.

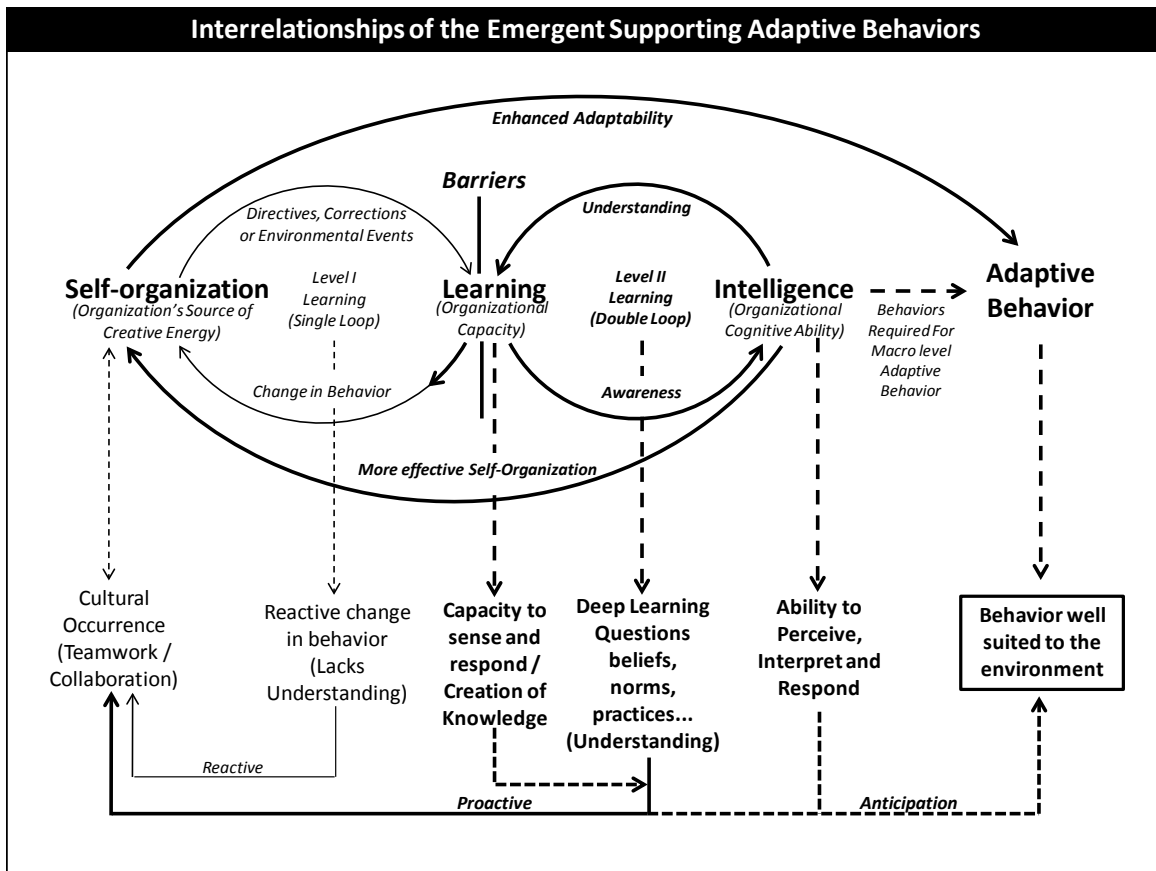


Figure 20. Interrelationships of Emergent Adaptive Behaviors  
Source: Created by Author.

It has been my experience that leaders seek an organizational demonstration of self-organization and organizational level intelligent behavior; however, leaders often fail to allow individuals, and teams, the freedom to self-organize; and they fail facilitate Level II learning. Failure to allow subordinates to self-organize demonstrates a lack of trust and mutual understanding between leaders and subordinates. This essentially demonstrates a failure in leadership. The collective result is an organization that fails to learn at the second level, which prohibits an increase in organizational intelligence and effective self-organization.



My experience, supported by this study, has been that within BCTs, Level I learning was the most prevalent. While Level I learning results in a change in behavior for the moment, it fails to produce mutual understanding and an effective long-term change in individual and team behavior. As such, failure of leaders to facilitate Level II learning was identified as the most dominant barrier to adaptive behavior. It is my opinion that failure to demonstrate Level II learning explains why many senior Army leaders continue to emphasize the importance of “learning.” However, despite the emphasis senior Army leaders place on learning, the findings of this study suggests that BCT leaders lack an understanding of practices that foster Level II learning within their organizations. Figure 22 depicts the findings from this study for the category of Supporting Adaptive Behaviors utilizing the Term Association and Relationship Matrix developed for this study.

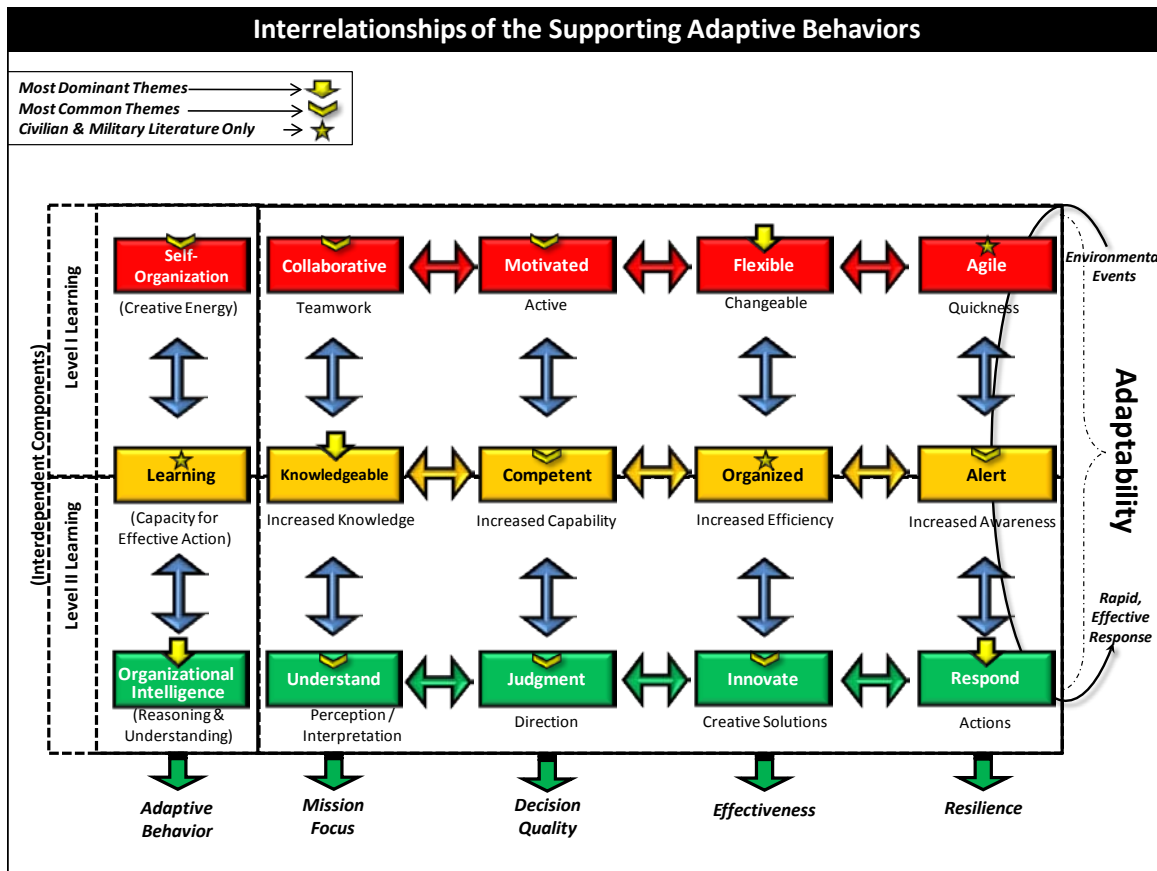


Figure 21. Interrelationships of the Supporting Adaptive Behavior Findings; Association and Relationship Matrix.

Source: Created by Author.

When asked to describe an adaptive organization, senior BCT leaders primarily used terms associated with the behaviors of organizational intelligence and self-organization. The most prevalent terms used to describe an adaptive organization were: flexible, knowledgeable and responsive. Specifically, three senior BCT leaders used the term “anticipate” (which was associated with the primary term “responsive,” under organizational intelligence). However, there was minimal use of terms associated with the behavior of learning by both senior and junior BCT leaders. Most telling was that only one junior BCT leader described an adaptive organization as one that “learns.”

While senior BCT leaders desired an organization that is flexible, knowledgeable, responsive, and able to anticipate events and changes in the environment; the lack of utilizing terms other than “knowledgeable” to describe learning, behavior demonstrated a potential gap in the understanding of the phenomena, how it occurred, and how to foster this behavior within the organization. An organization that fails to enable Level II learning is essentially at the mercy of the intellectual capacity of a few leaders. When an organization as a whole facilitates Level II learning, it will increase its capacity to conduct more effective self-organization, learning and increase organizational intelligence; which collectively results in a greater ability to adapt. To effectively harness the potential of supporting adaptive behaviors requires an understanding of the interrelationships of the organizational components, and how they influence the manifestation of organizational adaptive behavior.

#### Interrelationships of the Organizational Components

All organizations consist of leaders, organizational structures, an internal organizational climate, and an organizational culture. With respect to structures and capabilities, BCTs are categorized as Infantry, Heavy, and Stryker. While each is structured to employ various weapons platforms and demonstrate unique capabilities, each is composed of the same organizational components. Figure 23 depicts the Organizational Components and their Elements.

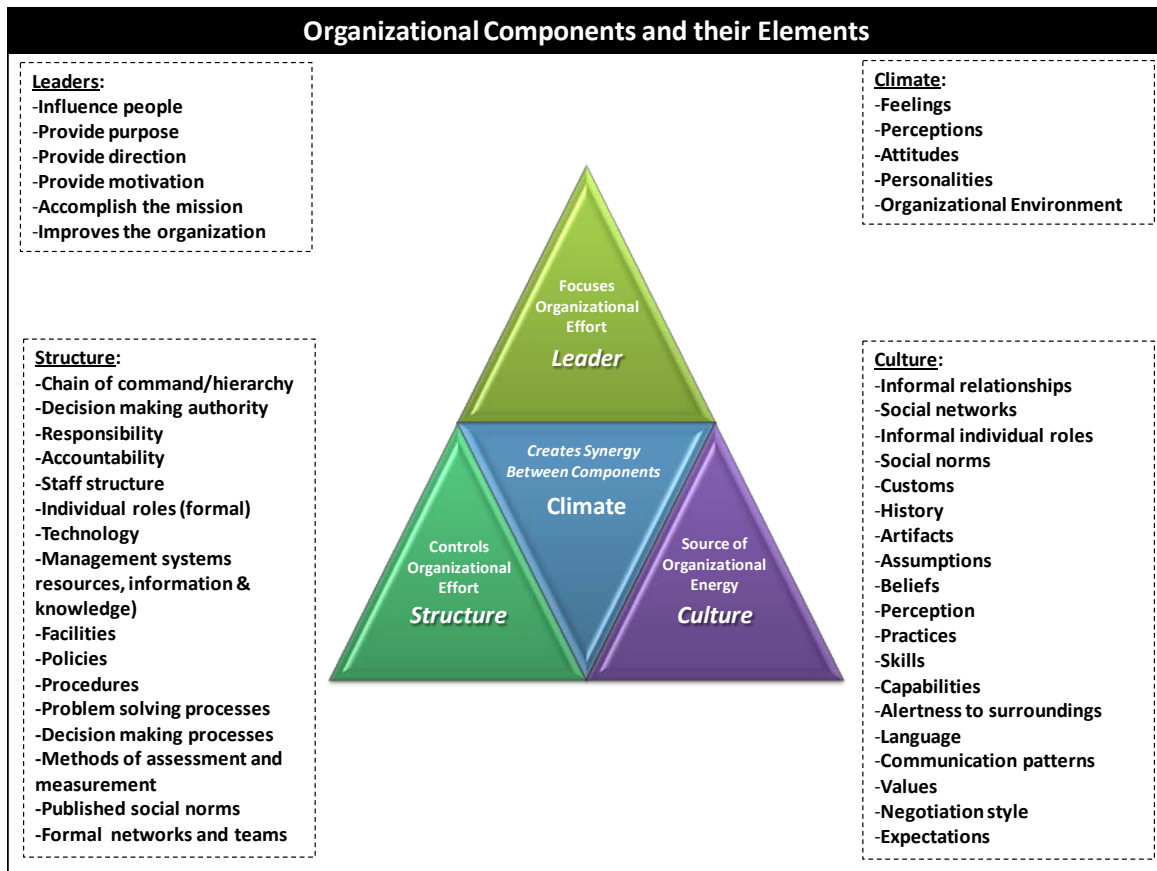


Figure 22. Organizational Components and Elements

Source: Created by Author.

## Culture

The organizational culture represents the organization's source of energy for accomplishing tasks. It is from within the organizational culture that self-organization emerges. The norms, history, values, beliefs, skills, capabilities and informal structures of the organizational culture affect how tasks are accomplished, and determine the effectiveness of self-organization. For example, a culture that values learning, shares knowledge and experience with others, and is motivated to increase skills and capabilities to develop a greater capacity and ability to adapt. To enhance the emerging self-

organization, therefore increasing the organizational culture's capacity and ability to adapt, a level of control and feedback mechanisms that facilitate Level II learning and organizational intelligent behavior are required. In other words, the organization's culture requires structure.

### Structures

Two types of structures exist within any organization; formal and informal. While both structures influence how individuals and teams behave and accomplish tasks, informal structures are an element of the organization's culture; and formal structures pertain to the measures implemented by leaders to control organizational effort. As such, formal structures reflect the level of control desired by the organization's leadership. This in turn influences organizational effort by: controlling the allocation of resources; establishing formal connections between individuals and teams internal, and external to the organization; assigning decision-making authority and responsibility; and prescribing the manner in which problems are solved and tasks are accomplished. Formal structures are required to prevent the organization from exhibiting chaotic or ineffective behavior by creating a level of order and organization among individuals and teams.

Without formal structures, the emergent behavior of self-organization may or may not result in an organizational level behavior well suited to its environment; as individuals and teams may proceed in directions that are not in line with organizational goals. However, rigid or restrictive structures will prevent the emergence of self-organization by reducing the ability of individuals and teams to freely interact; which results in a reduction of the ability of individuals and teams to share information and

knowledge, experiment with new concepts and ideas, and organize, in order to accomplish tasks more effectively.

Additionally, structures that facilitate Level I and Level II learning will increase the capacity and ability of individuals and teams to demonstrate intelligent behavior and conduct more effective self-organization. For example, structures that incorporate After Action Reviews or dialogue sessions before and after an event enable Level II learning to occur. However, merely scheduling these events and executing these types of events will not result in organizational learning. To enable effective self-organization, organizational learning, and increased organizational intelligence requires a climate that fosters these behaviors.

### Climate

Climate is the organizational environment that emerges from the interactions between the leaders and the individuals within the organization. Climate represents the state of morale and level of satisfaction of individuals within the organization (FM 6-22 2006). While an organization's climate is more of a short-term attitude and perception about the organization as a whole; climate may have long-term effects on the organization's cultural behavior over time. When the organizational components of structure, culture, and leadership are aligned, a positive climate emerges that creates a synergistic effect resulting in the emergence of the supportive adaptive behaviors and enhanced organizational performance. However, a poor climate will produce the opposite effect, and could be triggered by the misalignment of a single organizational component. The primary individuals charged with managing the organizational components, and ensuring proper alignment, are the organization's leaders.

## Leaders

A leader is “anyone who by virtue of assumed role or assigned responsibility inspires and influences people to accomplish organizational goals” (FM 6-22 2006, 1-1). Leadership is “the process of influencing people by providing purpose, direction, and motivation, while operating to accomplish the mission and improve the organization” (FM 6-22 2006, 1-2). Whether formal or informal, leaders influence organizational performance through the implementation of organizational structures (control); interacting with individuals and teams (internal climate); interacting with others outside the organization (external focus); issuing guidance (purpose and direction); demonstrating the desired behaviors (action and response); motivating and inspiring others (influence); and by coaching, teaching and mentoring subordinates to improve organizational intelligence (facilitating learning and intelligent behavior).

Formal leaders are the primary power brokers within an organization and therefore have the ability to change the organization’s components, or allow subordinates to effect changes within certain guidelines. Regardless of organizational level, a leader that enables individuals and teams to self-organize, enables learning, and facilitates intelligent behavior among subordinates will ultimately enhance their organization’s adaptability.

Figure 24 depicts the interrelationships and influence of the organizational components and the supporting adaptive behaviors on one another; as well as the most dominant and most common themes with respect to the organizational components discovered during the course of this study.

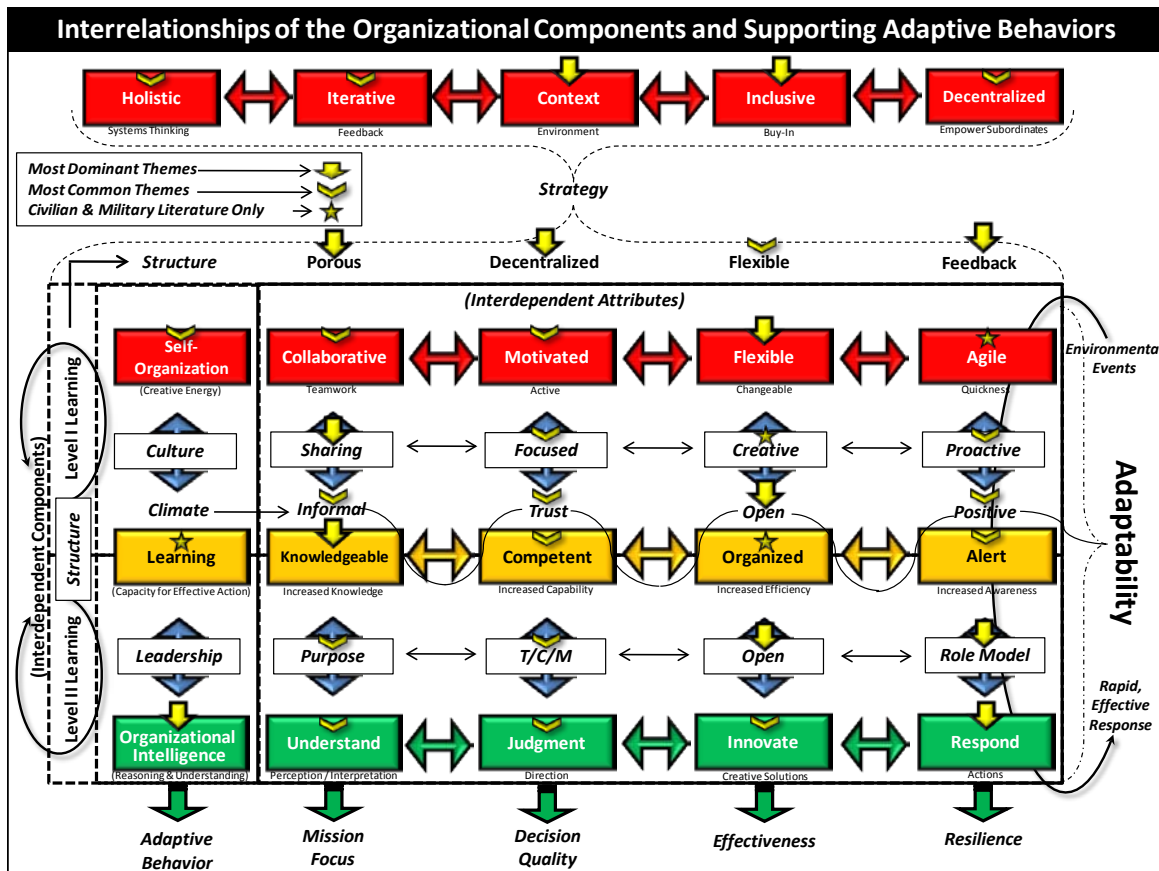


Figure 23. Interrelationships of the Organizational Components and Supporting Adaptive Behaviors; Association and Relationship Matrix  
Source: Created by Author.

### Environmental Influences on Organizational Components

Operational environment characteristics are both complex and uncertain for a BCT. Environmental characteristics emerge from the interrelationships of the organization's components with the components of other organizations, private industry populations, governmental agencies, and other elements with the environment.

From a BCT perspective, the internal environment consists of organizational components and subordinate units such as battalions, companies, platoons and staffs. The



external environment consists of higher or parent unit organizational components, such as division commanders, military post commanders and staffs, and the local community. BCT leaders must understand that each of these external elements influences the behavior of their organization through interaction.

It is unrealistic to consider any organization as an entity existing within itself, completely unaffected by the external environment. Army doctrine emphasizes that leaders must extend their influence beyond the organization; demonstrating an understanding of this principle (FM 6-22 2006). However, it is my opinion that in general, military leaders are unaware of the various ways in which they influence organizational behavior and the external environment; and conversely, how the external environment affects their organization's behavior. Leaders are capable of influencing their organization's culture through structures, climate and the leaders chosen behavior; they must also remain constantly aware of how the external environment influences their organizational components as well. Figure 25 depicts the dynamic of internal and external environmental influences on a single organization.

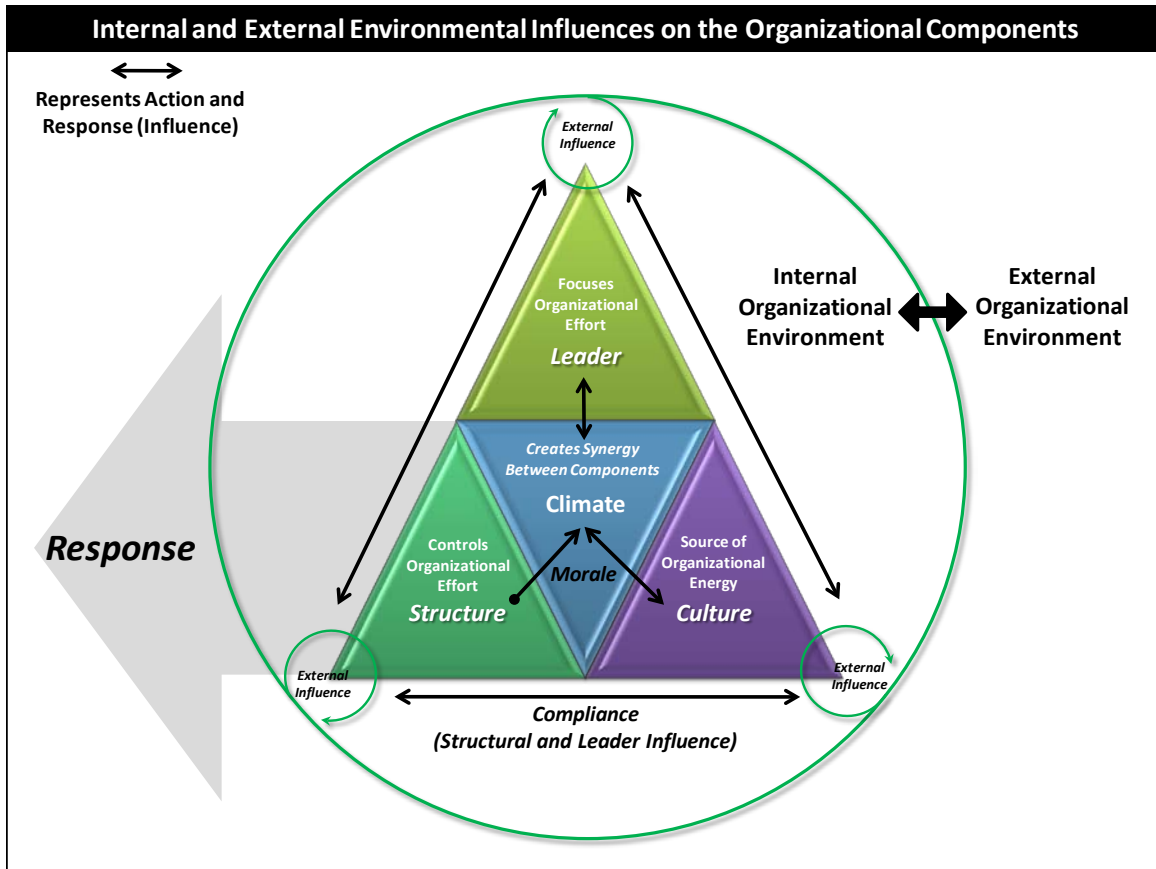


Figure 24. Internal and External Environmental Influences on the Organizational Components

Source: Created by Author.

Figure 26 depicts the dynamic of internal and potential external environmental influences on multiple organizations that exist within a BCT.

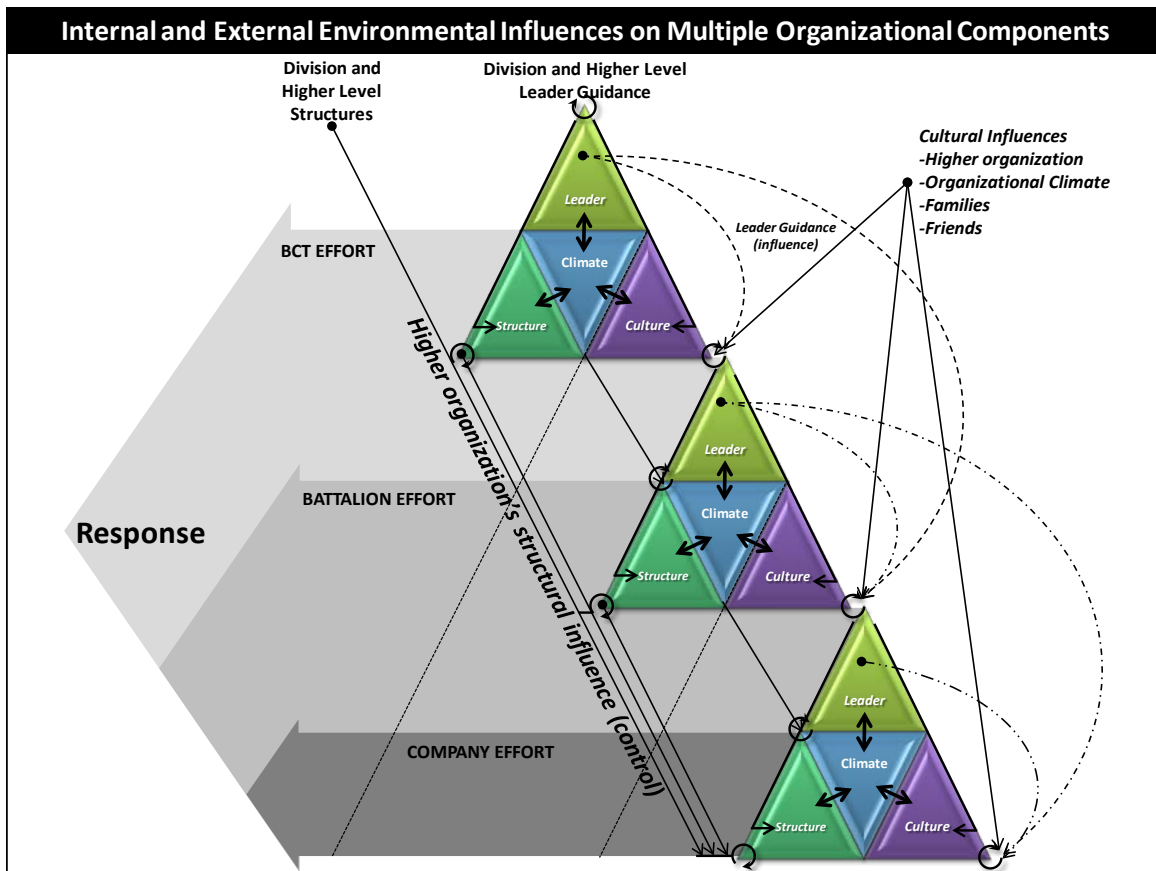


Figure 25. Internal and External Influences on Organizational Components  
*Source:* Created by author.

Additionally, other more remote external environmental elements such as families, friends, military post, or local private industry agencies can influence the organization the BCT's components and would be less acknowledged or monitored by the leader. It is through an understanding of the interrelationships of the supportive adaptive behaviors, that all leaders can begin to develop and implement a strategy that will enhance organizational adaptability.

### Strategies for Enhancing Organizational Adaptability

Strategy is considered by many to be the grand design for the organization and is the approach employed by organizational leaders to focus effort. Strategy addresses organizational function (mission), components, and context. As such, the strategy employed leaders and reflects their values, leadership style, and overall vision of how the organization will accomplish its mission.

Strategies can be categorized into different types: holistic, iterative, context, inclusive, and decentralized. An organization that considers the effects of change on the organizational components of leadership, structure, culture, and climate before implementing new changes is employing a holistic strategy. An organization that implements changes in a cyclic manner, utilizing feedback mechanisms to assess the effects of changes on the organizational components and the environment before implementing new changes, is employing an iterative strategy. A leader who chooses a context strategy, considers the affects of the external and internal organizational environment on each other before implementing changes; and those who seek to obtain buy-in by facilitating mutual understanding between leaders and subordinates before implementing changes is employing an inclusive strategy. Finally, a decentralized strategy organization empowers subordinates at all levels to make decisions based on mutual understanding of the situation and the organization's goals.

In BCT leader interviews, seven out eight described context and inclusive strategies. However, six out eight described decentralized strategies; and five out of eight described the holistic and iterative strategies. This came as no surprise in that Army doctrine prescribes a strategic approach that incorporates all the strategies discovered

during this study. This Army strategy is Command and Control, and the preferred Army practice is Mission Command (FM 3-0 2008; FM 6-0 2003).

Several practices for implementing strategies were reviewed during this study; each contained the same central theme as Mission Command: improve the decision making capability of individuals and teams within the organization and empower them to make independent decisions and allow them to initiate action to achieve local and higher level goals. These practices were: (1) learning (Senge 2006); (2) knowledge-centric (Bennet 2004); (3) human-centered (Brown 2009); and (4) agility (Sull 2009).

While each practice can stand alone, all contain aspects that could be incorporated into any BCT strategy, the Army's recommended practice of Mission Command would be considered the most applicable for BCTs in that it addresses the organizational components and the supporting adaptive behaviors within a military setting. In fact, each of the private industry practices reviewed referenced military organizations when describing how to employ their practices.

However, there were aspects from each private industry source that could not be adapted for a BCT such as: the ability to hire personnel outside the organization for specific positions; operating within a flat organizational structure (all employees have equal authority); and accomplishing objectives entirely through networks (self-serving with no higher purpose). The primary difference between private industry and military practices was the nature of the operational environment itself. For example, employees working for a hotel chain would not be concerned about a mortar attack or a small arms ambush; nor would their experiments with various practices possibly result in the death of employees. Conversely, BCT leaders would not worry about a union led strike when

complete “buy-in” was not achieved for an initiative, or a pay raise was not approved. Private industry practices tend to deemphasize the military necessity for compliance, and focus more on employee commitment, buy-in, and shared vision. This is not to say BCT leaders demonstrate an opposing focus; rather, at the end of the day, BCT leaders are responsible for accomplishing the mission and saving lives. Sometimes compliance is more important than commitment or buy-in, in certain situations for BCTs. However, Mission Command attempts to strike a balance between the two perspectives; specifically by developing a climate of trust and mutual understanding, and employing structures that enable decentralized execution of tasks.

### Mission Command

Mission Command counters the uncertainty, chance, friction, and complexity of the operational environment by empowering subordinates to make decisions quickly based on their understanding of the situation (FM 3-0 2008). The decentralized nature of this practice supports self-organization by providing maximum freedom of action to subordinates for determining how to best accomplish the mission (FM 3-0 2008). Mission Command requires that subordinate leaders at all levels exercise initiative, act aggressively and independently to accomplish the mission within the commander’s intent (FM 3-0 2008). Mission Command requires an environment of “trust and mutual understanding” (FM 6-0 2003, 1-18); which fosters self-organization, learning and organizational intelligence. Successful Mission Command rests on four elements: Commander’s intent (leader), subordinates’ initiative (culture), mission orders (structure), and resource allocation (structure) (FM 6-0 2003, 1-17). Mission Command also tends to be decentralized (structure), informal (climate), and flexible (structure) (FM 6-0 2003, 1-

18). “Mission Command provides a common baseline for command not only during Full Spectrum Operations but also in peacetime activities” (FM 6-0 2003, 2-7). Leaders who practice Mission Command effectively enable the emergence of supporting adaptive behaviors.

### Implementing a Strategy for Enhancing Organizational Adaptability

The most common barriers to organizational adaptability reside within the organizational strategies and practices that fail to align the organizational components in such a manner that enables the emergence of the supporting adaptive behaviors. To enable alignment, the leader must understand the behaviors the organization must demonstrate in order to effectively operate within the operational environment. When describing strategies and practices for enhancing organizational adaptability, BCT leaders provided descriptions of the desired characteristics for each organizational component. Using the Association and Relationship Matrix, Figure 27, a BCT leader would be able to depict the interrelationships of their strategy, the necessary supporting adaptive behaviors, and organizational components; as well as a strategy for alignment of each.

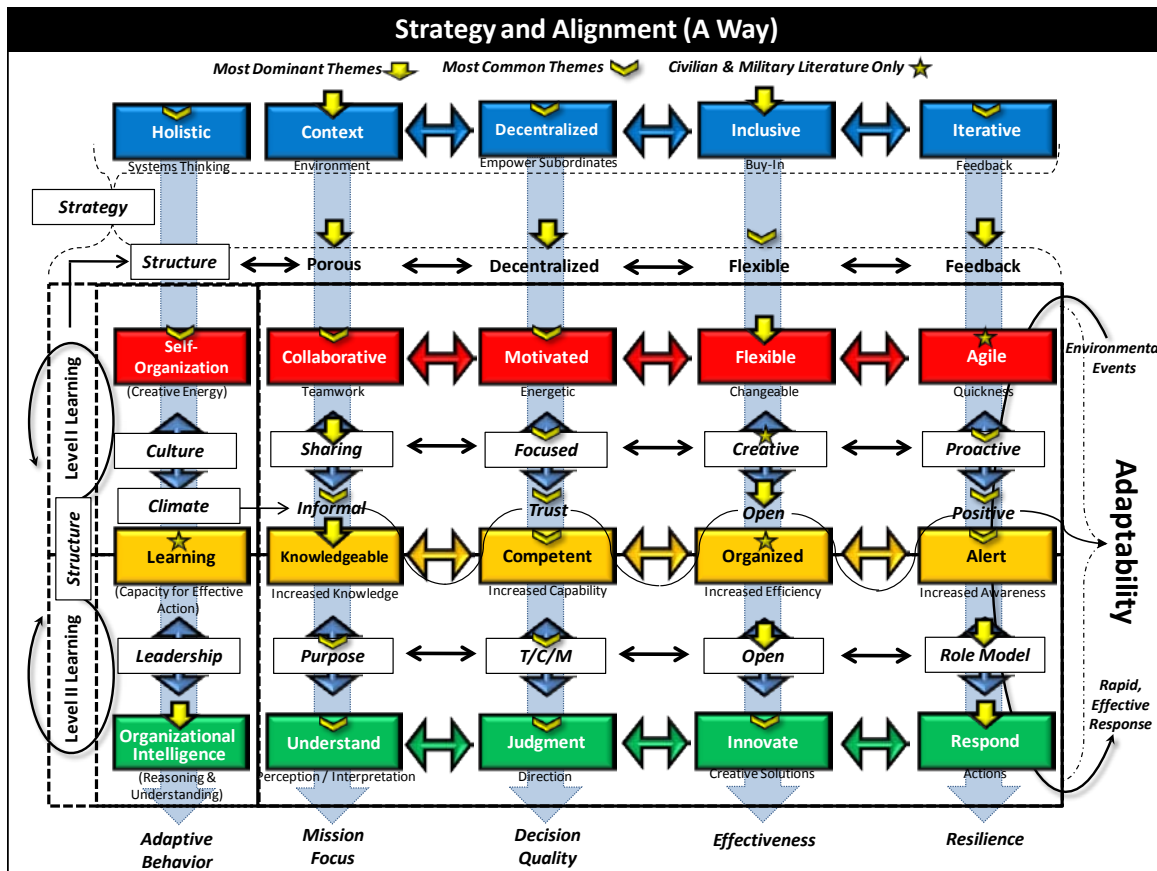


Figure 26. Strategy and Alignment; Association and Relationship Matrix  
Source: Created by Author.

The purpose of the Association and Relationship Matrix model is to assist leaders with designing an organizational strategy that aligns the organizational components in such a way that enables the emergence of the supporting adaptive behaviors. Employing this model would offer the following benefits:

1. Communication: creates a common language between leaders and subordinates through the use of agreed upon terms and meanings;
2. Awareness: demonstrates the interrelationships between the supportive adaptive behaviors and the organizational components (depicted by the arrows);



3. Mutual understanding: enables leaders to communicate the desired characteristics of each component, and rationale for their selection; which enables subordinates to understand the leader's vision and desired organizational characteristics.

4. Assessment: can be used to assist in identifying gaps in understanding of the strategy, adaptive behaviors or organizational components (identification of terms less commonly used);

5. Identification of barriers to adaptability: can be used by leaders and subordinates to communicate the existence of barriers (primarily actions or lack of actions that prevent Level II learning).

#### Employing the Association and Relationship Model in a BCT

The following assessment is based on my interpretation of the findings of this study as depicted in the Association and Relationship model. It must be noted that the model reflects my interpretation of the consolidated findings from all three research sources. The BCT leader input represents approximately 50% of the total number of findings. The assessment is as follows:

1. Strategy: The strategies described included all the essential practices. The emphasis on context and inclusive strategies supports the Mission Command approach. However, it was a surprise that the decentralized practice did not receive greater emphasis.

2. Adaptive Behaviors: Priority of emphasis was intelligence, self-organization, then followed by learning. While all are adaptive behaviors, each should have equal emphasis of the highest priority.

3. Organizational Components: Priority of emphasis was structure, leadership, followed by climate and culture which had equal emphasis. This could have several interpretations and implications based on the leader's assessment and knowledge of their organization. The organizational culture's level of training and morale may be of such that the problem resides within the organization's leadership and structures.

4. Gaps: Learning (as an overall characteristic not emphasized), organization (required for effective self-organization and learning), creativity (cultural characteristic that enables innovation), agility (a collective result of effective self-organization).

5. Barriers: Two dominant themes stand out; open climate and open leaders. However, there was minimal emphasis on the terms "organized" and "creative"; both of which require an open climate and leadership to be effective (an environment and leaders that welcome new ideas). Climate and leadership present a potential barrier to Level II learning and organizational effectiveness. As the adaptive behaviors and organizational components are interrelated, any gap is essentially a barrier to enhancing adaptability. Agility received minimal emphasis; however, based on my experience and the agreement of several literature sources agreed; agility tends to emerge with time and practice. The lack of agility to emerge would be a significant limiting factor for a BCT while deployed and could impact organizational resilience; however, initially in the BCT training environment, lack of agility is to be expected.

Strategy reflects the organizational leader's values, leadership style, and overall philosophy for how the organization will accomplish its mission. Through Mission Command, leaders can enable or prevent the emergence of the supporting adaptive behaviors by the way in which leaders arrange the organizational components; focus and

control organizational effort; and assesses the organization's behavior; with respect to the internal and external environments. The leader's vision of how the organization should behave and an assessment of the current state of the organization is only part of the equation. Implementing the strategy is the next challenge leaders face as they attempt to inspire and influence people to accomplish organizational goals.

#### The BCT Leader's Role in Enhancing Organizational Adaptability

The BCT leader's role in enhancing organizational adaptability is to develop and implement a strategy that aligns the organizational components and fosters the emergence of the supporting adaptive behaviors. Leaders influence this through implementing organizational structures (control); interacting with individuals and teams (internal climate); interacting with others outside the organization (external focus); issuing guidance (purpose and direction); demonstrating the desired behaviors (action and response); motivating and inspiring others (influence); and by coaching, teaching and mentoring subordinates to improve organizational intelligence (facilitating learning and intelligent behavior).

#### How to Implement the Brigade Adaptability Model

Utilizing the Strategy and Alignment Model presented in this study, leaders can communicate their vision to subordinates and begin to implement a strategy. However, as BCTs operate in an environment of complexity, uncertainty, and change, their organization's strategy must be continuously refined through adjustments to the organizational components. Identification of areas that require adjustments requires continuous assessment of the organization's behavior within the environment; both

internal and external. While this was identified as a challenge, leaders can accomplish this by executing the following steps prior to implementing adjustments to the organizational components. Figure 28, the Brigade Adaptability Model, depicts the steps.

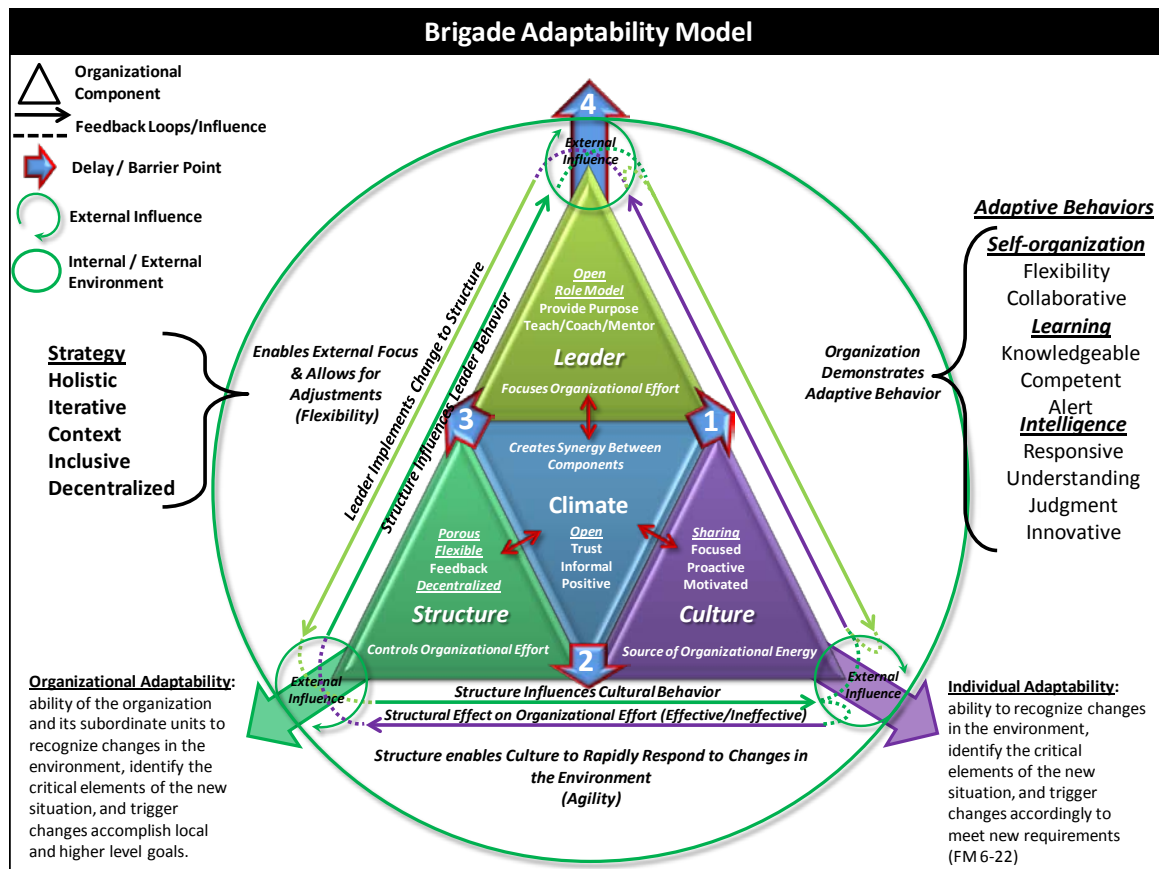


Figure 27. Brigade Adaptability Model

Source: Created by Author.

The four areas reflected in the Brigade Adaptability Model, and described in subsequent paragraphs, are oriented according to the areas of organizational component interrelationships that most often produce barriers to adaptability, as identified during this study. Each step requires leaders to take several actions to ensure the organizational

components are aligned to enable the emergence of supporting adaptive behaviors. The BCT leader's assessment of the organization's capabilities, performance and environment determines the sequence in which each area is addressed. It is recommended that leader's start with Area 1.

Area 1. Check your personal actions (leader behavior, guidance, and mentorship).

Step 1. Because leaders set the example, failure to emulate the behavior desired in subordinates can thwart any strategy.

Step 2. Review previous guidance issued to subordinates to ensure understanding, accuracy and relevance based on the current situation. Individuals interpret guidance in various ways and have different perspectives. Guidance issued by the leader may not be what the individual or team actually received.

Step 3. Assess the competence level of subordinates. Because leaders are required to teach, coach and mentor subordinates, understanding subordinate capacity and capability to learn is critical to achieving desired results. Increasing individual and team effectiveness requires leaders to facilitate learning. Facilitating Level II learning should be the primary focus.

Area 2. Consult the organization's culture (dialogue, shared vision, mutual understanding, and buy-in).

Step 1. Leaders must be open to suggestions from subordinates, and flexible in making adjustments based on their feedback for this area to be effective.

Step 2. Leaders must create a climate of trust and openness that enables dialogue between subordinates and leaders.

Step 3. To achieve mutual understanding, shared vision and buy-in, leaders and subordinates should revisit the organization's strategy and practices to identify any barriers that exist, or could be emerging.

Area 3. Adjust the organization's structure (based on feedback from superiors and subordinates).

Step 1. After consulting with subordinates, leaders must follow through with any adjustments agreed upon in Area 2. Failure to make adjustments will reduce trust and impact the organization's climate (morale) and the behavior of the culture; which in turn can trigger a negative change in leader behavior which may or may not be desired or effective.

Step 2. Leaders must understand that changes made to internal structures affect the behavior of the organization as a whole, and influence the external environment. Any change made to an internal structure that is not aligned with the parent organization's structure could become a barrier, and could result in poor organizational performance or undesired external influence from the parent organization.

Area 4. Extend influence outside the organization (leverage external capabilities and influence external structures).

Step 1. Leveraging additional capabilities from other organizations could increase the complexity of both organizations. While this requires more effort from leaders to assess the effects, the rewards of increased organizational capability should outweigh the costs.

Step 2. Leaders must understand that in some situations, higher level structures that impact their organization may not be able to change. Therefore, leaders must have an

appreciation of this dynamic and take it into consideration when implementing internal structural changes.

Area 5. (not depicted in the model). Assess the results and repeat if necessary.

Step 1. When assessing the organization's adaptability, a holistic and iterative strategy must be applied.

Step 2. Leaders must understand that each organizational component and the external environment influence the behavior of their organization. Additionally, any adjustments made to organizational components rarely result in immediate change in behavior; unless Level I learning is the cultural capacity desired by the leader. The iterative strategy must be applied to enable Level II learning, and allow the emergence of the desired behaviors.

Step 3. Desired behaviors associated with adaptive behaviors are reflected in the Brigade Adaptability Model and can be used to by BCT leaders to assess their organization's ability to adapt. Failure of an organizational component to demonstrate the characteristics and behaviors identified in the Brigade Adaptability Model is an indicator that a barrier exists. A leader's ability to recognized and resolve barriers to adaptability is critical for enhancing organizational performance. The next section provides examples of barriers to adaptability and potential causes.

### Barriers to Enhancing Organizational Adaptability

The most common barriers to adaptability reside within the organizational strategy. When the organizational strategy fails to align the organizational components in such a manner that allows the emergence of the supporting adaptive behaviors; the result of this failure results in an inability facilitate Level II learning. This was identified as the

most dominant barrier to organizational adaptive behavior. I believe this failure results from the lack of awareness of the supporting adaptive behaviors and the manner in which the organizational components influence each other and the emergence of adaptive behavior.

The majority of BCT leaders interviewed suggested that the organizational strategies and practices previously discussed constituted barriers to adaptability; however, several BCT leaders provided descriptions of specific barriers within organizational components, which are depicted in Figure 29, Barriers to Enhancing BCT Adaptability.

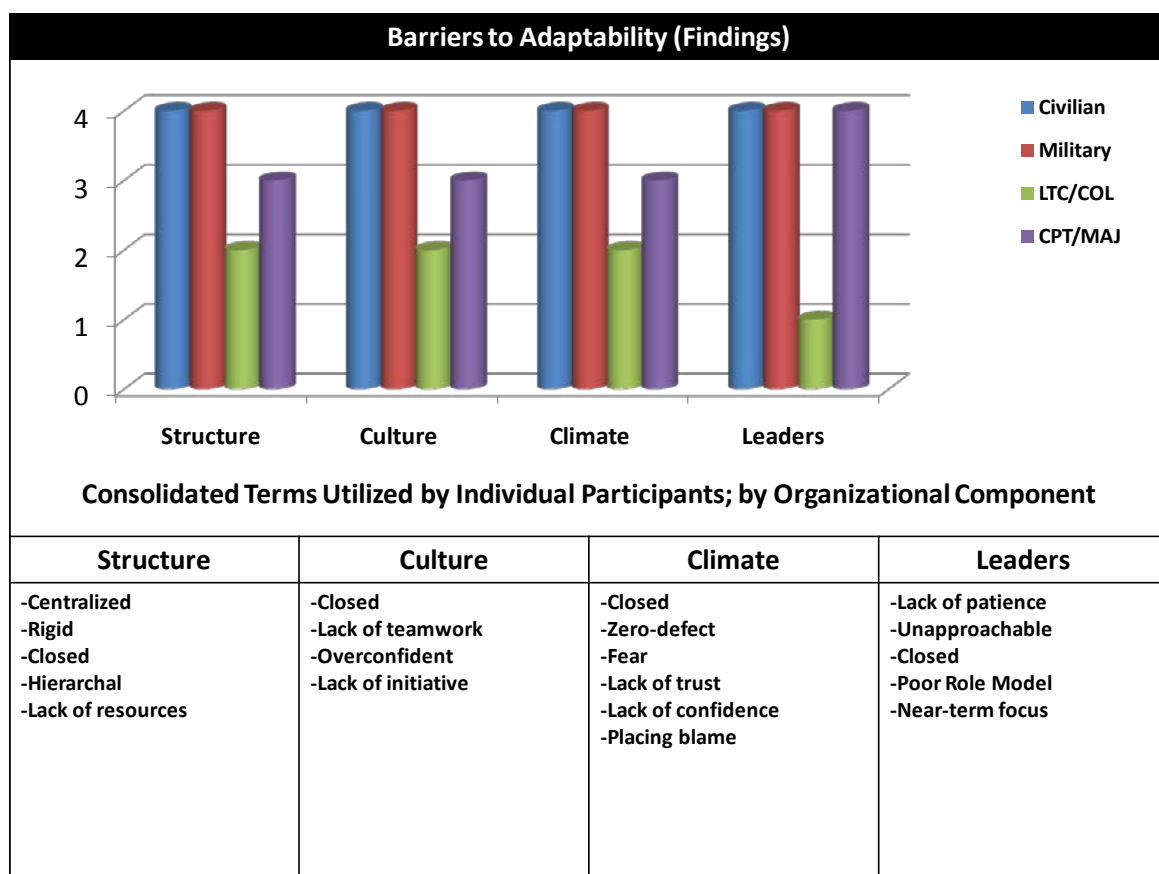


Figure 28. Barriers to Enhancing BCT Adaptability  
*Source:* Created by Author.



It was determined that each organizational component has the potential to act as a barrier to organizational adaptability. Not all senior BCT leaders discussed barriers to adaptability; as they were mostly focused on the actions leaders must take to enhance adaptability. However, the junior leaders were very much focused on culture, climate, senior BCT leadership and structures.

The following sections present one example of a barrier for each organizational component to provide an illustration of how a misaligned organizational component can prevent the emergence of adaptive behaviors in BCTs.

### Culture

Failure of the organizational culture to share information:

A unit makes decisions off of information, and if that information is not flowing to the people who make decisions, the unit is not going to adapt to anything, and it's definitely not going to be proactive; it is at best reactive and most likely static. (MAJ\_MI\_1)

### Leadership

Failure of leaders to be open to subordinate recommendations:

So I think the biggest thing officers need to do is rely on the people that know what they are doing, and not just say, "I'm the boss, and we're going to do it my way." I think having been a part of organizations in the past, sometimes that's what we did, [Leaders] would say, "I don't care about your experiences, I'm in charge and this is the way we are going to do it because I'm the commander." I think that people being open-minded and having an open dialogue, and being willing to learn from each other is the key to being an adaptive organization. (CPT\_FA\_3)

### Climate

Climate as potentially having long-term effects on the culture of the organization:

[Poor climate] makes you not want to contribute; guys just want to go sit at their desk. You have to have an open dialogue; it just helps get ideas out there; different ways of looking at things. It's the same thing soldiering, if leaders are

always jerks to their subordinates, guys aren't going to want to talk; the organization just kind of becomes reactive instead of proactive. (CPT\_FA\_3)

### Structure

Leader's unwilling to make changes to processes and procedures:

CONOPs are a good thing, but sometimes we were so rigidly inflexible on the approval process, and what had to be in those things that it almost became a pain because "you must have these 17 things," "it must be this detailed." The planning for it became such an event that it forced the leaders; especially the platoon leaders and squad leaders; to maintain [a] rigid stovepipe of how you were going to do your operations. I think probably one way to get away from that is to utilize [mission command], where you receive guidance and execute it based on the conditions on the ground; which could change. It seemed like some of our CONOPs didn't quite take that into consideration. It got better over time, once we realized that having the battalion commander as the approval authority for every CONOP [became overwhelming for him]. (CPT\_AR\_5)

### External Barriers

The ARFORGEN cycle:

In my opinion, after having gone through this cycle twice, and everybody know this so it's probably an obvious point, but the personnel piece of the ARFOGEN seems to be a disruption where as it's not in synch with the training plan. It's not in synch with the equipping plan as well, so let's go back to the start. So we get back from deployment, we get our equipment into RESET, we then loose quite a bit of our population and then at some point, 100–180, whatever it is, plus days after arrival, we then begin to field equipment. Especially in the logistics community we have low density MOSs where you only may have 6-7 folks that are associated with a piece of equipment. Unfortunately the fielding happens, and the true personnel team really isn't available. Disruption, yes, we've always overcome it; every organization does, and again that's part of being agile, adaptable organization. So it goes back to leadership. If the leader has instilled a culture of understanding, who you are with respect to personnel-equipment-training (capabilities), then leaders should be able to adapt to shortcomings in personnel, shortcomings in equipment, shortcomings in training. The bottom line is we have a commander's intent that we have to get after. (LTC\_QM\_6)

## Interpretation of Leader Experienced Barriers to BCT Adaptability

Based on experience, and the findings of this study, the primary barrier experienced by BCT leaders, to organizational adaptive behavior, is failure to facilitate Level II learning. This barrier emerges from misalignment of the organizational components. The interrelationships of the organizational components present a complex problem that was difficult to solve using simple analysis to determine a single cause. The following paragraphs describe my interpretation of the actions that resulted in the emergence of barriers to Level II learning.

In my opinion, Level II learning requires a positive climate and leaders who facilitate learning and mentor subordinates. The key elements required to foster a positive climate are trust and openness. Trust requires leaders to be confident in their subordinate's capabilities, and subordinates to be confident in leader capabilities; and openness requires leaders and subordinates to welcome divergent thinking and new ideas for solving problems and accomplishing tasks. For both leaders and subordinates, confidence and the ability to generate creative solutions to problems require opportunities to practice and demonstrate competence. Opportunities require time and resources. Time is required for leaders and subordinates to practice, engage in dialogue, and demonstrate competence; and resources such as personnel, training land and ranges, ammunition, equipment and competent trainers are required to enable Level II learning.

Unfortunately, in my opinion, the ARFORGEN and OIF/OEF deployment cycle, and failure of BCT leaders to align organizational components reduces time and desynchronizes resources. These factors result in an inability to facilitate Level II

learning at the organizational level, and produces undesirable leader and cultural behaviors. Figure 30 depicts this dynamic.

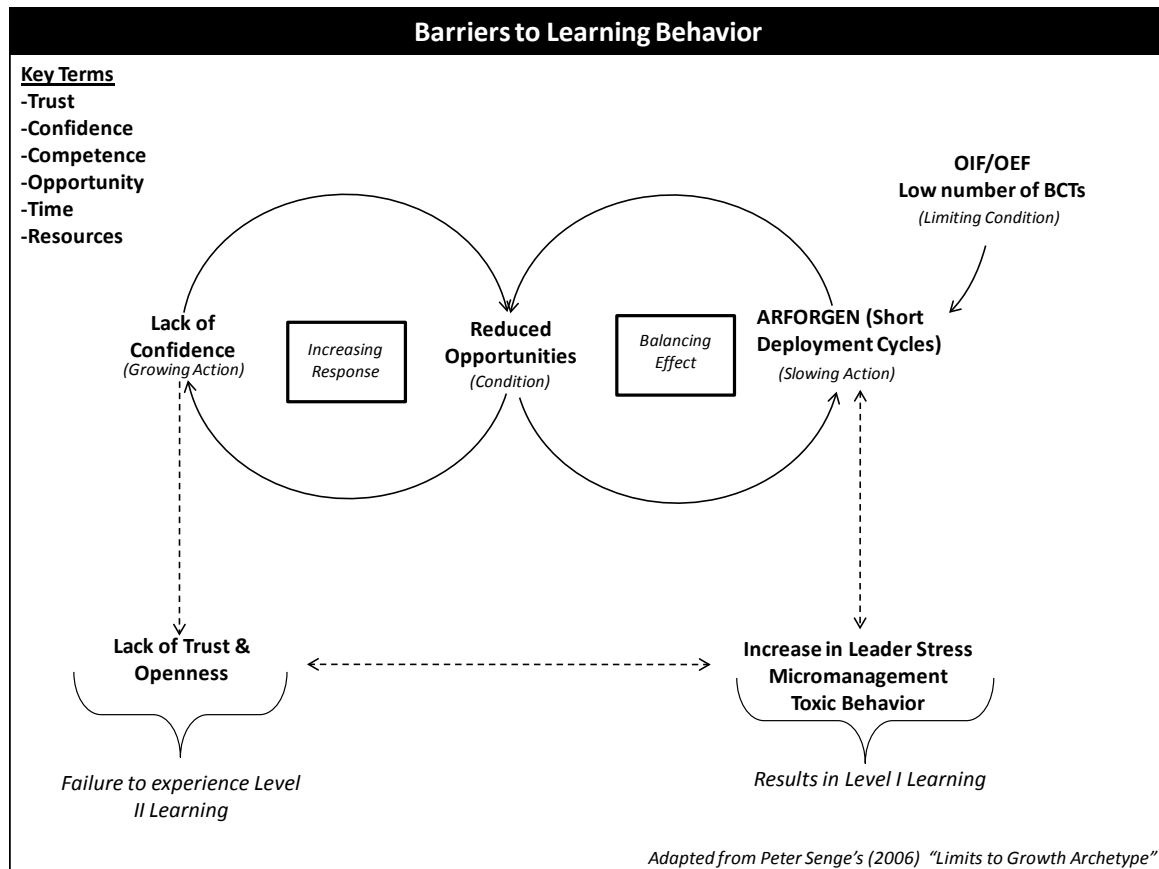


Figure 29. Barriers to Learning Behavior

Source: Created by Author.

Misalignment of the organizational components, the reduction in training time, and desynchronized resources ultimately resulted in a failure of the organization as a whole to demonstrate Level II learning. Reduced time and resources result in a reduction of training opportunities, and increase leader stress. As one senior BCT leader explained:

While this [ARFORGEN cycle] presents an opportunity to “start fresh” and build an adaptive organization, I believe most leaders are overcome with getting their

feet on the ground at the new duty station, determining the road ahead, and executing the myriad of tasks associated with reintegration, RESET, and pre-deployment training. (LTC\_FA\_7)

Leaders who are overwhelmed tend to exercise more centralized control over subordinates, listen less, become more directive, and may present an unapproachable demeanor due to stress and lack of confidence in their own understanding and ability of the situation. The collective effect of these conditions result in a poor organizational climate and a lack of trust; which reduces the organization's overall effectiveness. This dynamic is depicted in Figure 30, Barriers to Learning Behavior-Climate-Trust.

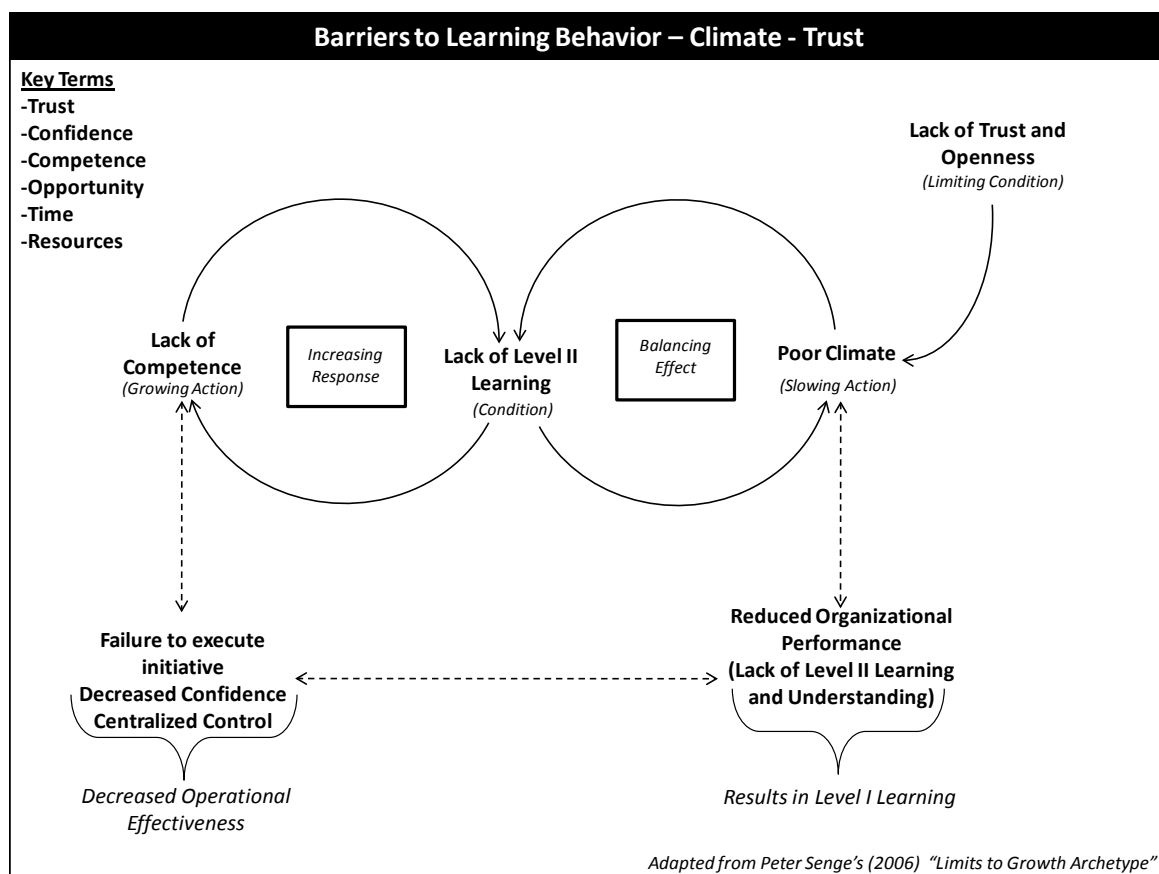


Figure 30. Barriers to Learning Behavior-Climate-Trust  
 Source: Created by author.

Leaders that fail to adjust organizational components by not listening to subordinates; by not incorporating time for coaching and mentoring; and being content with centralized structures; reduce their organizational ability to adapt. Figure 31 depicts this dynamic by comparing the elements of a centralized organizational strategy (Detailed Command) to the elements of a decentralized organizational strategy (Mission Command).

ARFORGEN Cycle and Command Style		
<i>Task Type and Environmental Characteristics</i>		
Stable Routine <i>Slow Change</i>	Complicated Routine <i>Slow Change</i>	Complexity & Uncertainty <i>Rapid Change</i>
First 180 Days After Re-Deployment		COIN/Major Combat Operations
Garrison Operational Environment		Current Operational Environment
<i>Desired Organizational Behavior For Full Spectrum Operations</i> →		
Detailed Command	Strategy	Mission Command
Internal	<i>Organizational Focus</i>	External
Rigid	<i>Structure</i>	Flexible
Centralized	<i>Decision Authority</i>	Decentralized
Efficiency	<i>Process Focus</i>	Effectiveness
Reactive	<i>Culture</i>	Proactive
Top Down	<i>Innovation</i>	Bottom Up
Teach/Direct	<i>Leadership</i>	Coach, Mentor/Indirect
Maximum	<i>Control</i>	Minimal
Formal	<i>Climate</i>	Informal
Minimal	<i>Risk Acceptance</i>	Moderate/High

Figure 31. Detailed Command/Mission Command Comparison  
*Source:* Created by Author; adapted from Army FM 6-0, Mission Command (2003), and findings from this study.

Combinations of barriers to organizational adaptability lead to Detailed Command; which is very centralized, formal and inflexible. This type of strategy may be required for an organization beginning a new ARFORGEN cycle in order to restore order and improve overall efficiency. However, to enhance an organization's ability to adapt over time requires leaders to gradually develop organizational characteristics and capabilities more aligned with those associated with Mission Command. This requires leaders to incorporate the strategies and practices described in this chapter. The Brigade Adaptability Model and the Strategy and Alignment Model can assist BCT leaders with strategy development, organizational assessment, and resolving barriers that prevent BCT adaptability.

The next section provides examples of several practices discovered during oral history interviews with BCT leaders that have been employed to enhance organizational adaptability.

### BCT Leader Practices for Enhancing Organizational Adaptability

The following paragraphs contain BCT leader practices that were discovered during this study. Each reflects a practice that the author felt is applicable and effective for enhancing BCT adaptability.

#### Strategy

An example of how a current BCT Leader is addressing the context of his organization is as follows:

Believe it or not, we can educate family members on the local laws associated with domestic violence, local laws associated with DUI. So they are now part of the solution and understanding of the ramifications of their actions or inactions as

a family member. The BCT CDR likes to talk about the lady who knows that a DUI is going to cost the family 15k, will make sure that she gets the keys from her husband, or let's say if she knows that if a family member does not buckle their seatbelt . . . and there's an accident, he may or may not get his SGLI, so she's a part of that solution to make sure that seatbelts [are used] and [folks that have been drinking] don't get behind the wheel. (LTC\_QM\_6)

Applying the holistic, iterative, and inclusive approach:

Ultimately it comes down to creating a culture where everyone in the organization understands the vision, has buy-in, sees action in the direction of the vision, and is afforded the opportunity to practice what is preached. Leaders provide opportunities and an environment that fosters the characteristics outlined above. Regular interaction with leaders (and followers) at all levels to ensure they understand the organizational vision for developing / maintaining adaptability. (LTC\_FA\_7)

Applying the iterative approach with feedback:

We always say "AARs," but [it's not about] just having an AAR but then putting it on paper and then, as a leader, coming up with a plan on how to fix those problems; and not just filing it somewhere, but [determining] how to improve ourselves in order to [fix] the problem . . . or maybe [determining] a way to become more proficient in what we do . . . I think that's helped us a lot. (CPT\_AR\_5)

## Culture

Implementing culture change (LGORS):

Little Groups of Roughriders (LGORS) takes principles [from the culture] of the 82d Airborne Division, which was the "little groups of paratroopers," which of course takes its name from the D-Day invasion where paratroopers landed, took accountability, different patches but it didn't matter, everybody had the right focus, the right pride, and elite-ness and they went after their commander's intent. So what I've done is [to take] a vision which starts with small groups of elite, agile, adaptive, disciplined, physically fit troopers that are empowered to operate under commander's intent and get after that intent under any condition. So to do that, obviously you have to put together a program, where we unveil the concept, then put in forcing functions inside the formation that will #1) get people to understand the concept from a tangible perspective, and then #2) [facilitate understanding] of some of the goals that my BCT has put on me to get these folks trained and ready for our next operational deployment. So what we've done is unveiled it under four different categories of 1) pride, 2) camaraderie, 3) discipline and 4) empowerment. (LTC\_QM\_6)



## Structures

The practice of “Pinning the Rose” is similar to a concept referred to by several private industry and military research sources as “network analysis” (Bennet 2004; Senge 2006; Brown 2009). The purpose of Pinning the Rose is to illustrate practices for developing organizational structures, assigning roles and responsibilities, determining the internal and external variables that could influence the organization (awareness), provide the organization with a reference point for information and knowledge management, and indentifies key individuals with whom to connect in order to maintain an effective flow of information. Each is critical to enabling effective self-organization, learning and organizational intelligence. Figure 33 depicts a BCT level Pin the Rose structure. Figure 33 depicts a Pin the Rose illustration developed for a battalion while deployed to Iraq. Complete diagrams for all battalion and BCT staff sections can be found in Appendix C to the thesis.



Figure 32. BCT Pin the Rose Diagram

Source: Participating BCT.

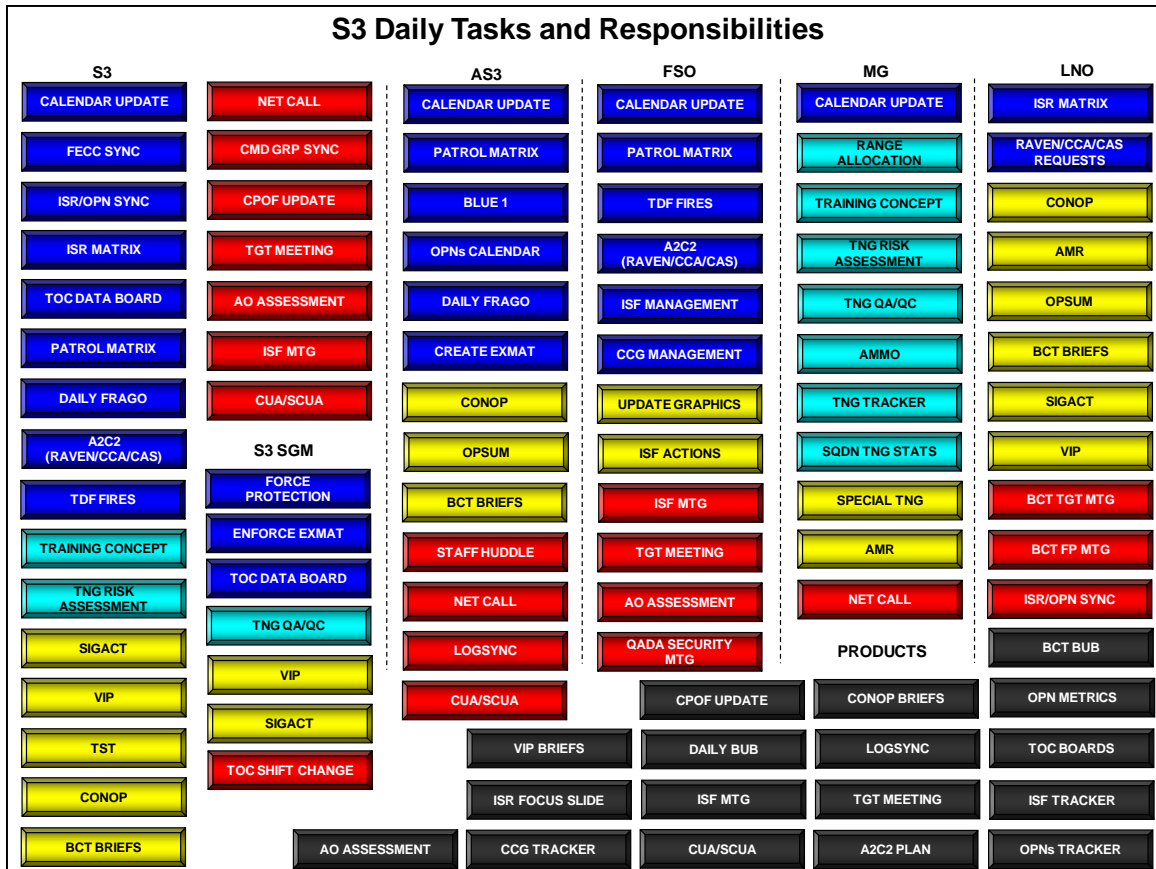


Figure 33. Battalion Pin the Rose Diagram

Source: Participating BCT.

The Situational Papers practice was experienced by a Captain while deployed and was described as a process that enabled situational awareness and understanding by all involved:

I also saw one brigade commander; he actually put out that he wanted three to five pages of certain RFIs [requests for information] that were to be answered by each company commander so they actually had homework. It was actually a good experience because that was your senior rater and you got to show him what you knew; but additionally, it demonstrated that [you knew what was occurring in your area of operation] and made you realize that you were part of a bigger organization; and in some cases you might benefit from other units/leaders [knowledge/reports], or it might [identify] a unique problem that I might need help with . . . I thought that was a great example of an adaptive organization that wants to hear from their lower level [leaders], and actually had a process in which

to do it . . . I think we did that 2 or 3 times over the course of 6 months.  
(CPT\_AR\_5)

### Climate

The Officer Conference practice was experienced by a Captain while deployed.

This technique demonstrates an environment and structure that enabled Level II learning.

We were all in a dining facility; it [officer conference] definitely allowed people to start thinking [about other Areas of Operation], especially Lieutenants, since they need to be our most adaptive; they go out there more than the commanders. They are the ones that are out every day, sometimes multiple times a day, and when they can hear other lieutenants experiences; sitting down and talking about it with them; [they can reflect on each other's experiences]. It allows you to start thinking holistically; and start making connections [patterns in activity from other Areas of Operations], and start trying to figure out ways to better influence those people [indigenous people]. I think the officer conference was a great way to enhance our adaptability. (CPT\_AR\_5)

### Leaders

One Captain described the actions of an open Leader as follows:

I take input from E-5 and up because what I have found is that the more input I have for big operations, the better the end product; the more successful the mission is. . . . I think that's because if you take "buy-in" from junior leader levels, then they feel like they have true input, they have a true stake in it, and they don't feel like they are just being told what to do. (CPT\_FA\_2)

Being a role model implies that the leader must demonstrate the desired behaviors; which in turn influences the behavior of the organization. As one Captain explained:

I think first and foremost they [leaders] have to know what they're talking about. You can't "ding" a guy for being overweight, if you're overweight; you can't "ding" a guy for not being able to run if you can't run. (CPT\_FA\_3)

The need for leaders to provide purpose and direction was best explained by a BCT Commander:

Leaders have to provide the focus and direction for an organization. . . . They've got to push the organization and its leadership to learn to their abilities. . . . They

have to walk their talk by setting and being the example for others to emulate and follow. They have to stay engaged with their soldiers so that they understand what's on the minds of their soldiers. . . . They have to care about their soldiers and their families. . . . If soldiers don't feel that they are special, and they are part of something special, it's hard to build an agile organization that can adapt to changes in the OE because there's a requirement for trust and confidence in your leaders when changes are taking place. (COL\_AR\_8)

Teaching and influencing subordinates:

I think our business; and it probably took me a few years to really appreciate this; but our business is all about people; and it's about leaders and leader development. . . . It's not about our [weapons]; it's about the 500 people we have in this battalion, and getting them to do something. . . . From a conceptual standpoint, I think it's easy; if you're an expert in something; to gain a high degree in your abilities to do something else, because you can do something well . . . and it doesn't matter what it is. . . . I think that if you're good at one thing, then you can change to be good at something else; and that goes back to your confidence . . . and when you have confident leaders, then their soldiers will be confident in them and their organization because they can do something well. . . . So I think that helps you adapt to other environments where you may have to train to do something else. (LTC\_FA\_4)

Mentorship:

As a lieutenant, I never received good mentorship. . . . I was always thrown into situations where I would either sink or swim. . . . Lucky for me I had good Executive Officers in the company that I was in and they kept me afloat; and I had good NCOs that took care of me; so I survived. . . . I know a lot of people don't want to hear it, but the junior officer corps is broke . . . it's not for a lack of want or motivation; it's for a lack of education. . . . It's not institutional knowledge, I think that we need to push with junior officers; I think it is Captains and Majors spending more time developing lieutenants. (FA\_CPT\_2)

### Research Challenges

1. Interview timing. Interviews with BCT leaders were conducted prior completion of the literature review. By the time findings were consolidated from the literature review, time to complete this study was reduced. The reduced time impacted the study in that once the Term Association Matrix was developed; time to re-engage the BCT leaders to confirm interpretation of their statements was not available.

2. Term association and interpretation. As discovered, words have meanings, and depending upon the context of the words sometimes had several meanings. Developing the Term Association Matrix for this study was a significant challenge, but so was interpreting the findings from the BCT leader interviews. The findings were a reflection of the authors interpretation of what was said during the interviews. This supports the realism of the study by presenting the challenge all leaders have: communication. Often, a leader may use a term to communicate a desired vision, but the subordinate interprets the meaning of that term as something completely different than what the leader intended. This was an important lesson learned by the author.

3. Analysis of numbers. The methodology used for this study called for a selection of dominant themes, based on the number of terms and their synonyms. Not only is the analysis based on my interpretation of the data; the discriminating factor between dominant and common themes was sometimes based on a difference of one individual source.

### Recommendations for Future Study

1. Changing organizational culture. Explain the question or topic of Army Organizational and Direct Level Leaders influencing organizational culture change. Each private industry literature source used for this study recommended strategies and practices for the purpose of influencing organizational culture change, and creating conditions favorable to adaptive behaviors. Army doctrine suggests that only Strategic Level Leaders manage and shape the Army's culture, and Organizational Level and Direct Level Leaders influence organizational climate (FM 6-22, 2006). However, two

BCT leaders (Direct Level Leaders) expressed the need to change their organization's culture.

2. Outcomes Based Training (OBTE). Explain the question of outcomes based training enable Level II learning. While not within the scope of this study, I was introduced to this method while serving as a Small Group Instructor for the Infantry Captain's Career Course. I have reviewed several articles referencing the use of this method in basic training organizations.

3. BCT Adaptability Model. Explore the potential use of the BCT adaptability model for assessing the influences within cultures and government organizations of Iraq and Afghanistan. This model was used by one staff group in two training events during the Intermediate Level Education course at Fort Leavenworth, Kansas. While the model assisted the staff group with identifying the structures of a culture and government agency, this occurred during a classroom training exercise and the activity was not sufficient to suggest that the model could be employed to assess other cultures or organizations.

### Summary

Today's operational environment consists of "uncertainty, chance, friction, and complexity" (FM 3-0 2008, 1-16). "Change and adaptation that once required years to implement must now be recognized, communicated, and enacted far more quickly" (FM 7-0 2008, 1-5). In response to these operational environment characteristics, Brigade Combat Teams; the Army's basic tactical maneuver units; must be able to "learn constantly from experience (their own and others) and apply new knowledge to each situation" (FM 7-0 2008, 1-5). Additionally, BCTs must be able to balance the skills of

“expeditionary agility and responsiveness with physical endurance and adaptability” (FM 3-0 2008, 1-17).

The purpose of this study was to support the requirement for BCTs and their subordinate organizations to adapt to the operational environment. The aim of this study was to discover strategies and practices that could be implemented by BCT leaders to enhance their organizational adaptability. This discovery was accomplished by exploring contemporary private industry and Army literature; interviewing current and former BCT leaders; and utilizing the researcher’s BCT experience to gain insight into the essence, meaning, and practices of fostering adaptive behavior within an organization.

The essence of organizational adaptability is an organization’s ability to demonstrate a macro-level adaptive behavior. Adaptive behavior is as when an organization “uses local rules between interacting agents to create a higher-level behavior well suited to its environment” (Johnson 2001, 20). Adaptive behavior consists of three supporting emergent behaviors which are: self-organization, learning, and organizational intelligence. Each of these behaviors is interdependent upon the other; therefore, focusing on one behavior alone will not result in the emergence of a macro-level, or organizational level, adaptive behavior.

To enhance organizational adaptive behavior, leaders must first understand the interrelationships of the supporting adaptive behaviors and organizational components. With this understanding, leaders must implement an organizational strategy that aligns the organizational components of leadership, climate, culture, and structure in such a manner that enables the emergence of supporting adaptive behaviors. Finally, leaders must be able to recognize and resolve barriers that prevent the emergence of supporting



adaptive behaviors. It is through this understanding and practice that leaders can enhance organizational adaptability.

## APPENDIX A

### BCT LEADER INTERVIEWS

#### Introduction

This appendix contains the summarized responses collected from eight Army BCT leaders for the purpose of gaining insight on the description of organizational adaptability, and identifying the most dominant strategies and practices for enhancing this behavior and ability within an organization.

This appendix supports the findings contained in chapter 4 to this thesis and was organized by the following topics:

1. Description of an adaptive organization
2. Recommended Strategies for enhancing adaptability
3. Structures that support or prevent adaptability
4. Climate characteristics that support or prevent adaptability
5. Culture characteristics that support adaptive behavior or prevent adaptive behavior
6. Leadership characteristics that support or prevent adaptability

Topics 3-6 contain the sub-topics of *support* and *prevent* which indicate desirable and undesirable attributes as described by the participants; and each response is preceded by a (+) for desirable, and (-) for undesirable. Additionally, the researcher provided associated terms which were used for the purpose of categorizing the responses for analysis; which were indicated by [*term(s)*] preceding the participant's response.

The following interview summaries represent select responses. These were selected based on the researcher's interpretation of responses that captured the essence of

adaptability with respect to the research questions. Specifically, the researcher presented each participant with the following research questions:

1. How do private industry, the Army, and BCT leaders define an adaptive organization?
2. Which strategies and practices recommended by private industry, the Army, and BCT leaders could be employed to enhance BCT adaptability?
3. What factors identified by private industry, the US Army, and BCT leaders could prevent or disrupt efforts to enhance BCT adaptability?
4. What do private industry, the US Army, and BCT leaders suggest is the Leader's role in enhancing organizational adaptability?

For question #3, several participants provided a response which reflected a strategy that described their approach to developing adaptability within a unit, or a strategy they had experienced. Other participants provided a response to question #3 that described characteristics of various organizational components, but did not describe the approach they would take, or flawed strategies to developing adaptability. If a strategy or a critique of a strategy was provided, the researcher reflected the response under the category of *strategy*–topic #3. If a strategy or critique was not provided, the researcher summarized the participant's main themes in topic #3. Additionally, participant response for strategy where also factored into the topics 4-6 as applicable.

Not all participants addressed the categories contained in the research framework. For this situation, *N/R* represents that no response was provided by the participant that matched the research framework categories for this study.

All participants desired to remain anonymous, but their military background and BCT experience was presented. Complete interview recordings are available through the CARL Library.

### Interview Summary #1: MAJ MI 1

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 10 years

Branch (Army): Infantry, branch detail to Military Intelligence

Previous Duty Positions held: Platoon Leader, Company Executive Officer, Battalion

Adjutant, BCT Intelligence Officer (S2X-HUMINT/SIGINT), Military Transition Team -

Intelligence Officer Trainer, Company Commander (MICO), Squadron Intelligence

Officer, BCT S3 Plans Officer.

Deployments: Operation Iraqi Freedom (3 tours)

#### 1. Description of an adaptive organization

-[Proactive] “A proactive organization.”

-[Multiple Skills/capabilities] “One that is able to react to multiple types of operating environments; capable of functioning in a high-intensity and low-intensity conflict.”

#### 2. Recommended Strategies for enhancing adaptability

*Researcher summary of responses: holistic, context, inclusive, decentralized*

#### 3. Structures that support or prevent adaptability

##### Supporting

(+) [Empowerment]. “where subject matter experts (SME) are actually permitted to do their jobs and be subject matter experts.”

(+) [Empowerment]. “empowering subordinates to do what they need to be doing.”

(+) [Open / Porous] “If someone had an issue that required the BCT commander’s attention, they could go directly to the BCT commander, give him two courses of action,

and he [BCT CDR] would make a decision.”

(+) [Empowerment] “If junior leaders are empowered to feel that they can approach the BCT commander with a problem . . . I mean, if the company commanders want to recommend something to the BCT commander, they should have access to go to him and inform him that there is an issue that requires a decision.”

### Prevent

(-) [Empowerment]. “it’s just the difficult part seems to be empowering those people who actually have the knowledge to exercise that knowledge.”

(-) [Closed] “A closed leadership structure is one of the biggest problems with creating an adaptive organization. . . . A very hierarchal structure where the decision maker is inaccessible to the majority of the staff and junior commanders.”

(-) [Centralized / Layered] “It was a hierarchal structure where in order to see the decision maker; you had to take your decision; if you will; to the battalion staff who would look at it and then take it to the battalion commander who would make his changes, who would take it to the BCT operations officer who would make his changes to the BCT executive officer who would make his changes, who would take it the BCT deputy commander, and finally when [you were able to gain a decision from the BCT commander] so many other people in chain had made adjustments to it that no one fully understood what the initial intent on the decision was in the first place. . . . However, because of the steps (process) required to get it [a decision] to that point [decision made by the BCT commander] things were very difficult.”

(-) “I’m looking at a specific process that was in place because subordinates were not empowered to make decisions.”

#### 4. Climate characteristics that support or prevent adaptability:

##### Support

(+) [Open / Trust] “Well, the most successful organizations I have been in have been those in which soldiers and leaders were not afraid to report the ‘honest to god truth’.”

(+) [Open] “Foster an environment that encourages timely and accurate reporting.”

(+) [Positive/Informal]. “in that instance, decision making was streamlined, the organization reacted very quickly to issues, and that fostered the same thinking down in the battalions and companies as well. . . . Because junior leaders saw that they could go to their supervisors with problems. . . . When there was a problem it got reported; it didn’t get hidden because they were afraid someone was going to yell at them.”

##### Prevent

(-) [Fear] ”In other deployments, I’ve seen other environments which did not foster timely and accurate reporting for that very reason [fear].”

(-) [Fear] “The bottom line is that there existed an environment in that unit that where subordinates were afraid to make decisions because everyone in that chain was afraid that if a decision was made below them, they would be held accountable for that decision, rather than actually holding the actual person who made the decision accountable. . . . There was a very heavy handed management style that was being used.”

(-) [Not empowering subordinates] “That was a part of it. . . . That was what created an environment that was very slow to react to change.”

(-) [Poor climate] “A very no-fail mentality. . . . Zero defect. . . . Where any bad news was not greeted as ‘bad things happen so I’m glad I know about it now rather than later,’ but as ‘bad news happened and it’s your fault captain.’”

(-) [Places blame] “However, the incident review board became such an exhaustive process, and even if this wasn’t the intent, the perception of the incident review board became that it was not intended to fix what we did wrong, but rather to assign blame for what we did wrong. . . . It became very much a finger pointing exercise of why everyone subordinate to the officer conducting the review board had ‘screwed up.’ . . . That combined with an inability or unwillingness throughout the chain of command to hold individual soldiers accountable contributed significantly to that [negative] environment.”

#### 5. Culture characteristics that support adaptive behavior or prevent adaptive behavior:

##### Support

(+) [Values] “Because there was a cultural understanding of that . . . because the command was well aware of the consequences, or the perceived or potential future consequences of not conducting certain training prior to deployment, it was very easy to get that training accomplished.”

(+) [Values] “We had great success with training [certain] personnel prior to one deployment because the Army as a whole had made it very clear that if you did not train [certain skill sets], you would get to Iraq and guess what—you won’t be able to [accomplish specific tasks]. . . . Because there was a cultural understanding of that, because the command was well aware of the consequences, or the perceived or potential future consequences of not conducting certain training prior to deployment, it was very easy to get that training accomplished. . . . That contributed to a unit culture that



supported HUMINT operations in training that made units successful in training and in combat.”

### Prevent

(-) [Closed ] “A unit makes decisions off of information, and if that information is not flowing to the people who make decisions, the unit is not going to adapt to anything, and it’s definitely not going to be proactive; it is at best reactive and most likely static.”

## 6. Leadership characteristics that support or prevent adaptability

### Support

(+) [Values]. “leaders that demand to be trained on as many situations as possible; where training is tough, realistic, and more importantly–relevant.”

(+) [Role Model] “Take responsibility for one’s own actions and decisions.”

(+) [Positive climate / inclusive] “If a leader encourages an environment where subordinates know they are part of the decision making process; that the information they report is relevant; and the relevant information is getting to the people who need to make decisions; then the organization is going to be very adaptive.”

(+) [Open / Values different perspectives] “I’m not saying that subordinates should assume a ‘we can’t’ mentality, but a mentality of ‘these are the courses of action we have, and these are the positive and negatives for each–ere are the current situation.’ . . . And if a command can receive that news calmly, and understand that the subordinate is delivering the situation as he perceives it, then the command can select a course of action and the unit can execute.”

(+) [Calm Leaders] “In an organization where leaders don’t ‘fly off the handle’ when they receive bad news; they understand that the reason they are receiving this bad news is

because people are comfortable with reporting bad news to them . . . I think this makes an organization much more adaptive, flexible, and able to react to future issues as opposed to reacting to them when they actually occur.”

Prevent

(-) [Closed] “Well, I’ve seen times where certain combat arms leaders will discount the input of combat support and combat service support leaders as less relevant due to their background.”

(-) [Unapproachable] “The difficult thing is sometimes getting a combat arms leader who is the approving authority for the training to [actually approve the training] and send soldiers to the training in order to ensure that the unit is trained to support the unit in

## Interview Summary #2: CPT FA 2

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 4 years

Branch (Army): Field Artillery

Previous Duty Positions held: Battalion Fire Direction Officer, Rifle Platoon Leader, Battalion S4, Assistant Battalion Operations Officer, and Company Commander

Deployments: Operation Iraqi Freedom (2 tours)

### 1. Description of an adaptive organization

- [Flexible/Agile] “An organization that has the ability to receive a mission, outside of its standard METL, and execute that mission through MDMP, proper resourcing of training, culminating with an MRX and deploying.”

- [Flexible/Agile/Disciplined]. “an adaptive organization to me is one that can receive a mission, that’s outside its standard mission set, plan, resource and execute the mission in an orderly coherent fashion.”

### 2. Recommended Strategies for enhancing adaptability

- [Iterative/Inclusive/Decentralized] “One of the things that I have experienced here lately; and I know there will always be ‘ankle-biter’ tasks that we have to react to; what I greatly appreciate is that we have taken a very methodical, slow and rational approach to our training. . . . The BCT command team has developed phases in our training. . . . They have right up front done the long range planning, and given me; as a junior commander; of where my white space is; how I can train my soldiers on the basic Army tasks; and I think they are approaching it the right way. It’s compressed, but it’s methodical, it’s

rational, makes sense to me, it has logical steps.”

- [Holistic/Inclusive] “I came in [took command] and did away with the MOS designation and I just made them 1st, 2nd, 3rd, and 4th platoon. . . . Set it [the company] up more like a rifle [Infantry] company. . . . I put in a training model, and once a week we do squad level STX [situational training exercises], and company level foot marches. . . . The idea being . . . there was a lot of ‘I got mine’ type mentality before; and I was trying to get rid of that; I was trying to create some continuity. . . . From my perspective it has been very interesting to watch a Military Police Lieutenant, an Ordinance Lieutenant, Chemical Lieutenant and my Company Executive Officer (XO) (Engineer) get used to working together. . . . I make them run ranges together and do things like that.”

- [Iterative] “It may not be a great company now, but twelve months down the road, it will be. . . . This method has caused a lot of angst between me and my boss.”

- [Holistic] “Emphasize and spend more time training on core tasks.”

### 3. Structures that support or prevent adaptability

#### Support

(+) [Decentralized] “I’ve been given broad left and right limits to accomplish my training.”

#### Barriers

(-) [Centralized] “The previous company command team was very centralized with its leadership and there wasn’t much continuity amongst the company; everybody was separate.

### 4. Climate characteristics that support or prevent adaptability:

#### Support

(+) [Motivation/Positive] “I have a very ‘rifleman first’ mentality . . . that has been embraced by the command team and I’ve been allowed to go forward with foot marches and STX training . . . and [these events] have done a great deal to improve esprit de corps in the company.”

Prevent

N/R

5. Culture characteristics that support or prevent adaptability

Support

(+) [Willingness to share ideas and experiences] “Under the new command team, there’s been a lot of emphasis put on crosstalk, cross-walking METLs, and commanders and First Sergeants across the board working together regardless of their unit or MOS.. Some of the good ideas I’ve gotten have come from other commanders within the BCT.”

Prevent

(-) [Teamwork] “Before [the current command team], there wasn’t a lot of team work at my level; mostly because guys were fighting to survive more than anything else . . . just managing everything . . . there were days that I just hoped I could accomplish 50% of what was being thrown at me . . . trying to figure out what was most important to me and things like that . . . I kind of had blinders on; I wasn’t really helping out the guys to my left and my right; and there was a lot of that going on.”

6. Leadership characteristics that support or prevent adaptability

Support

(+) [Leader Patience]. “as far as leaders are concerned, some of the qualities that I’ve seen, not even tactics, but the ability to not get excited, not push too hard.”

(+) [Open to new ideas / buy-in] “I take input from E-5 and up, because what I have found is that the more input I have for big operations, the better the end product, the more successful the mission is. . . . I think that’s because if you take buy-in from junior leader levels, then they feel like they have true input, they have a true stake in it, and they don’t feel like they are just being told what to do.”

(+) [Treat others with respect] “Be a decent human being . . . you do have to treat soldiers with respect.”

### Prevent

(-) [Lack of leader patience] “The biggest failures I’ve seen after undergoing three ARFORGEN cycles have been pushing too hard to fast and we end up with a mediocre product . . . more reactive and adaptive.”

(-) [Lack of mentorship] “As a lieutenant, I never received good mentorship. I was always thrown into situations where I would either sink or swim. . . . Lucky for me was that I had good XOs in the company I was in and they kept me afloat, and I had good NCOs that took care of me, and so I survived.”

(-) [Teach/Coach/Mentor] “I know a lot of people don’t want to hear it, but the junior officer corps is broke . . . it’s not for a lack of want or motivation; it’s for a lack of education. . . . It’s not institutional knowledge I think that we need to push with junior officers; I think it is Captains and Majors spending more time developing lieutenants.”

(-) [Model desired behavior] “Officers and NCOs need to take much more seriously what they are doing. . . . What you do is not a job . . . it’s a lifestyle.”

### Interview Summary #3: CPT AR 3

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 5 years

Branch (Army): Field Artillery, branch transfer to Armor

Previous Duty Positions held: Company Fire Support Officer, Assistant Battalion

Operations Officer (for three different battalions), and Company Commander

Deployments: Operation Iraqi Freedom (2 tours)

#### 1. Description of an adaptive organization

-[Learning/Share experience] “An organization that learns from experiences . . . and those who have deployed before assist with sharing lessons learned during professional development meetings.”

#### 2. Recommended Strategies for enhancing adaptability

- [Context] “Recently, we had the Squadron Commander from the organization that we’ll replace in Afghanistan come to our squadron while he was home on leave and share information about the areas of operations we will eventually be deployed to. . . . Learning from other organization’s experiences in near real-time, not dated lessons learned ‘like two years old . . . it’s what’s relevant right now’ . . . Things are different everywhere you go, but at least we’re getting relevant information now.”

-[Holistic] “We gripe because nobody knows counterinsurgency; commanders and their troops don’t know how to do this stuff, but we don’t teach it. . . . It may be taught at ILE or something but it’s not being taught here [at the unit level]; there’s no troop level standard or anything . . . it’s just kind of whatever the troop commander comes up with,

and that's kind of what they're going with."

- [Context] "I read an article that . . . was in reference to Vietnam, but I think it's applicable . . . that said 'one year of experience in Vietnam—twelve times'. . . . In my experience in Iraq it's the exact same way, because when we deployed this last time, we did the same stuff. . . . I was like, 'we did this [last deployment]'"

-[Context] "Sharing current experiences is key. . . . When I was [stationed in Germany] we were learning about 'coke-can IEDs', but when we deployed, we weren't getting hit with coke-can IEDs . . . it was [different variations of IEDs]. . . . Just getting current and relevant information out."

### 3. Structures that support or prevent adaptability

(+) [Learning infrastructure] "OPDs, the Army should get like [popular actors or actresses] and they should read and record FMs and then post them on my iTunes and then guys can download it . . . because I don't listen to music on my way to work, I listen to podcasts and different stuff . . . make audio versions of it [FMs] and put it on media that people use these days."

### 4. Climate characteristics that support or prevent adaptability

#### Support

(+) [Open climate / informal] "I think that people being open minded and have an open dialogue, and being willing to learn from each other. . . . I was just sitting there getting [training] from an E-6, so, and I'm totally cool with that. . . . I think that's the key to being an adaptive organization."

(+) [Positive]"Absolutely, it [open, positive climate] gets people thinking again, you know, saying 'what can I do to improve things around here?' . . . Instead of 'well this



sucks, but we got to deal with it'. . . . So I think it gets people thinking about how to improve their own little slice of the pie, and it gets people moving in that direction as opposed to just being stagnant.”

Prevent

(-) [Closed] “It makes you not want to contribute; guys just want to go sit at their desk. . . . You have to have an open dialogue; it just helps get ideas out there; different ways of looking at things . . . it’s the same thing soldiering, if leaders are always jerks to their subordinates . . . guys aren’t going to want to talk, the organization just kind of becomes reactive instead of proactive.”

5. Culture characteristics that support or prevent adaptability:

*Support*

(+) [Collaboration] “Cross-talk.”

Prevent

(-/+ ) [Learning/Individual Level] There’s plenty of resources available, but I don’t think anybody knows what’s available to them . . . like the CALL stuff is good, and there’s lots of forums you can go to as well, and then just basic Army publications—I think that’s a dying art—people reading FMs. “ especially junior guys like myself, I’m kind of a book nerd because I like reading FMs . . . but, I think that junior level [officers] and soldiers in general don’t really know what their doctrine is and what the manuals say and what manuals they have out there . . . it’s on us that do know to share that information.”

(-) [Overconfident/Closed] “The biggest thing is that just because you wear a certain rank doesn’t mean that you know everything; I think guys just need to remember that, and be open to discussion, be open to . . . criticism, critiques . . . I mean we talk about

AARs, but I think a lot of times we don't really do an AAR the way it should be done; people get defensive . . . especially as you go higher up."

(-) [Initiative] "Previously, nobody would do anything without leaders telling them to go do this and go do that . . . instead of becoming progressive and getting out there and trying new things and seeing what works, you just get stuck in a rut and you're doing the same crap. . . ." When you're in this environment the organization becomes stagnant, there's no growth or learning going on. . . . I think that's detrimental to the organization; you should always be seeking improvement; when you have that kind of thing going on, people quit learning they just do what they have to do to not get cussed out; and in my opinion, that's not what you want."

#### 6. Leadership characteristics that support or prevent adaptability

##### Support

(+) [Trust / Empower] "So I think the biggest thing officers need to do is rely on the people that know what they are doing, and not just say that I'm the boss, and we're going to do it my way."

(+) [Listen / Open / Approachable] "You have to stay abreast of what's going on . . . just because you're in charge doesn't mean you know what's best."

(+) [Coach/Teach/Mentor/Learn] "You have to train your trainer, certify your trainers, and then have them train their subordinates; and I think it's the leaders job . . . if he doesn't know it, he needs to go find it out . . . and then come back with the knowledge he's gained from that and teach his subordinates."

(+) [Trust / Calm] "I've been in command a week . . . and I think the guys know that they can come in and say 'hey sir' . . . and address an issue . . . and if it doesn't mesh with

what I think, I'll evaluate it, and if I think it's alright I'll go forward with it. . . . It has to be the commander . . . that has to drive that down; that he says it, but he also enforces it, because a lot of people say 'this isn't a zero defect organization', but when you have one DUI they . . . just loose it and they forget to realize that soldiers are going to do whatever they want at the end of the day."

(+) [Leader establishes climate]. "to change it [climate], I think it has to be top-down, because whoever the big cheese is in that organization needs to say 'hey, I'm open, we can talk, if you have anything bring it up . . . don't be disrespectful.'"

### Prevent

(-) [Closed/unapproachable]. "but I know I've been in situations where the guy [leader] says 'I have an open door' but that's not the case, talk's cheap you know."

(-) [Closed] "A lot of guys ETS because of that behavior, and that kind of leadership, and that kind of just Draconian way of doing things; whereas if guys are allowed to speak, think, kind of figure things out, they get a little more satisfaction and it helps guys stick around . . . guys want to contribute, and when they feel like they can't contribute, then they're like "screw this, I'm done."

(-) [Closed/Overconfident] "I think having been a part of organizations in the past, sometimes that what we did, we said . . . I don't care about your experiences, I'm in charge and this is the way we are going to do it this way because I'm the . . . commander."

(-) [Closed] "Ultimately he's the commander and he has his say, but he was like 'no you're wrong, we're doing it my way' . . . it was just like that with everything"

(-) [Model desired behavior] "I think first and foremost they have to know what they're

talking about . . . you can't ding a guy for being overweight if you're overweight, you can't ding a guy for not being able to run if you can't run."

(-) [Closed] "he wouldn't listen to anything you said . . . literally I heard this on numerous occasions . . . we would get the 'I'm the [explicative] battalion commander' and he'd slam his fist down when guys would try to talk and say stuff that was outside of what he wanted to do and what he thought . . . so guys just quit talking; then it got to the point where people didn't say anything, at meetings people would just sit and say 'o.k.' or 'yes sir' . . . then you get stuck in that whole 'yes sir' mentality."

(-) [Closed] "People brief it . . . but previous commanders didn't do that. . . . I just took command, and I walked up and talked to a [commander] and in the previous command, you couldn't do that at all . . . and he's [new commander] open to anything you say, and processing it. . . . Luckily, when we were in Iraq, things were kind of calm, but if it was high intensity, I think that might have bit us in the butt."

#### Interview Summary #4: LTC FA 4

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 20 years

Branch (Army): Field Artillery

Previous Duty Positions held: Battery Commander Brigade Fire Support Officer,  
Battalion Executive Officer, Brigade Effects Coordinator, Brigade Deputy Commander,  
Battalion Commander

Deployments: Operation Iraqi Freedom (2.5 Tours), Operation Enduring Freedom (3 months)

##### 1. Description of an adaptive organization

- [Multi-skilled] “I will tell you that an adaptive organization in my mind is one that embraces the mission at hand and is able to execute that given mission.”
- [Anticipate/Open/Innovative] “In terms of adaptability, we like to think that staffs can be ahead of commanders, but based on all of the inputs [commanders] receive down range the staffs truly support the commander and the people that have been successful have seen things before they happen and have been able to implement ideas, concepts, changes in anticipation of those future events.”
- [Competent] “We’re well grounded in the basics so we can adapt in a tactical environment pretty easily because we can do these things.”
- [Open/Flexible/Perspectives] “You don’t create your staff to be able to do this, I think it’s a combination of the inputs a commander receives and then he builds the structure required to handle whatever that situation is and to accept that information.”

## 2. Recommended Strategies for enhancing adaptability

- [Context/Holistic/Open]. “Don’t limit the methods or number of inputs you receive. . . .

There are countless data points and mechanisms out there for you to receive information and the people I have seen most successful in this are those folks that don’t limit the amount of information coming in to them.”

- [Holistic] “And there wasn’t a big staff study on this; this was based on the commander being on the ground, receiving all this information, and deciding in his mind that that we have to change this environment—did some staff reorganization.”

## 3. Structures that support or prevent adaptability

### Support

(+) [Flexibility / Agility] “Coupled with some structural organizational changes to adjust to a dynamic situation . . . you just can’t limit yourself to the MTOE authorization—this is what a battalion or BCT staff looks like—you have to be able to tailor that to the situation that makes sense at the time based on your inputs.”

(+) [Flexible] “We formed a series of task groups, and then we created a staff task allocation lists which assigned responsibilities. . . . You can’t find that in an MTOE anywhere.”

### Prevent

*N/R.*

## 4. Climate characteristics that support or prevent adaptability

### Support

(+) [Open/Learning/Creative/Positive] “The last piece is how you build the team so that people know what they are doing is important and they’re given the latitude to think

outside the box; it's o.k. to try a different approach to solve a problem because if it works, we can share that across the formation—those two kind of go hand-in-hand. . . . A lot of this though is how you build your team and it's a teamwork thing . . . not how you build your team with respect to organization, but . . . it's the climate of the organization”

Prevent

N/R.

5. Culture characteristics that support or prevent adaptability

Support

(+) [Sharing Information and Knowledge / Creative] “I think the sharing of TTPs and ideas across the formation . . . this can be at the company level . . . platoon . . . battalion. . . . You know the best ideas in counterinsurgency start at the bottom anyway, so those ideas that percolate up . . . an adaptive organization in my mind can take those good ideas and share it across the formation so that everyone can improve that way.”

(+) [Willingness to accept responsibility / Empowered] “We've started by allowing section PT and those guys are embracing it, and they want to take charge of it [PT]. . . . So that right there gives me confidence.”

(+) [Value] ‘The other thing that gives me confidence is that people are looking forward to the gunnery path that we are on right now, because they know they are going to ‘re-red’[conduct a major certification training event], so to speak, and they know they need it.”

Prevent

(-) [Failure to change] [a mentality of] “this is the way we've always done it. “so rigidity in your formation is an impediment to adaptability.

## 6. Leadership characteristics that support or prevent adaptability

### Support

(+) [Confident] “I think that if you’re good at one thing, then you can change to be good at something else . . . and that goes back to your confidence . . . and when you have confident leaders, then their soldiers will be confident in them and their organization because they can do something well. . . . So I think that helps you adapt to other environments where you may have to train to do something else.”

(+) [Lead Change] “And I think the amount of adaptability the organization has begins at the top with the commander and when the commander recognizes the need for change, it’s so much easier for the organization as a whole to accept those changes and to go forward in whatever direction is required.”

(+) [Decentralized] “The BCT Commander gave me some rather general guidance and [a select number of people] then he gave me the freedom to develop a proposal to make sense of this process; and in that regard, adaptability defined is he [BCT Commander] gave me general guidance then allowed me to develop a plan within his intent; and didn’t dictate to me. . . . I wasn’t constrained by something he was dictating to me and I was not constrained by an MTOE authorization . . . it was ‘build this thing so that it makes sense.’”

(+) [Confident] “I think confidence is probably one of the more important things. . . . Confidence in your own abilities as a leader and then confidence in your organization. . . . At the end of the day, I want to look back and say we could accomplish any mission we would receive.”

(+) [Influence] “I think our business, and it probably took me a few years to really



appreciate this, but our business is all about people, and it's about leaders and leader development. . . . It's not about our guns, it's about the 500 people we have in this battalion, and getting them to do something.”

(+) [Seek Opportunity/Train/Coach] “As leaders, we have to develop the opportunities for people to use those skills that they've mastered, or are working towards mastering . . . we have to set the conditions and present those opportunities . . . to use those skills.”

Prevent

N/R.

### Interview Summery #5: CPT AR 5

Interview #5\_Bailey\_MMAS\_BCT Adaptability

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 6

Branch (Army): Armor

Previous Duty Positions held: Platoon Leader, Company Executive Officer, Company Commander, and Assistant Brigade Operations Officer

Deployments: Operation Iraqi Freedom (3 tours)

#### 1. Description of an adaptive organization

-[Listens/innovative]“An organization that listens to its subordinates and takes their ideas and executes the mission.”

#### 2. Recommended strategies for enhancing organizational adaptability

-[Context/Holistic/Inclusive]“I also saw one brigade commander . . . he actually put out that he wanted . . . three to five pages of certain RFIs [requests for information] that he wanted answered by each company commander . . . so they [company commanders] actually had homework. . . . It was actually a good experience . . . one because that was your senior rater and you get to show him what you know, but additionally it shows that [what I’m doing in my AO] is obviously part of a bigger organization . . . and in some cases might benefit other [units/leaders], or it might [identify] a unique problems that I might need help with . . . I thought that was a great example of an adaptive organization that wants to hear from their lower level [leaders], and actually had a process in which to do it [receive information]. I think we did that 2 or 3 times over the course of 6 months.”

-[Iterative] “We always say AARs, but not just having an AAR but then putting it on paper and then, as a leader, coming up with a plan on how to fix those problems; and not just filing it somewhere, but how to improve ourselves in order to make this problem . . . or maybe it’s a way to become more proficient in what we do . . . I think that’s helped us a lot.”

-[Holistic/Inclusive] “The S2 gave us a threat assessment, and then each company briefed significant activity or events that happened within our AO . . . and we looked holistically at the problem asking ‘what does this mean’ and ‘how can we effect him [enemy]’ and also, ‘how can we effect the populace as well’ . . . So just having an officer conference, when you can sit down . . . [and discuss current issues]”

-[Decentralized] “I think probably one way to get away from that [micro-management] is to utilize [mission command], where you receive guidance and execute based on the conditions on the ground which could change.”

### 3. Structures that support or prevent adaptability

#### Support

(+) [Open / Collaborative] “A lot of our targeting meetings, at the beginning for our battalion, seemed to be ‘hey, here’s all the CONOPs we have for next week’ and that was it, but then we started focusing on the non-lethal, and we had an officer conference . . . that’s another good thing we had. . . . We talked about enemy threats as a group . . . with our peers and others . . . Lieutenants, Captains, Lieutenant Colonels.”

#### Prevent

(-) [Rigid / Inflexible] “CONOPs are a good thing, but sometimes we were so rigidly inflexible on the approval process, and what had to be in those things . . . it almost

became a pain because ‘you must have these 17 things’, ‘it must be this detailed’ . . . the planning for it became such an event that . . . it forced the leaders, especially the platoon leaders and squad leaders, to maintain this rigid stovepipe of how you were going to do your operations.”

(-) [Rigid / Centralized] “I think another thing that kind of hinders that [initiative] is . . . just the micro-management of certain things, how much detail you want on things, what you can and can’t do, or what restrictions you place. . . . Now obviously some are in place for good reasons, but sometimes they seem so odd and rigid . . . “why are we doing it this way?”

#### 4. Climate characteristics that support or prevent adaptability

##### Support

(+) [Open/Creative] “An organization that listens to its subordinates and takes their ideas . . . I mean you don’t have to take every idea, but [at least listen to them]. . . . That keeps leaders, especially at the junior level engaged to want to improve their unit in my opinion.”

##### Prevent

(-) [Closed /Overconfident]. “the attitude was ‘no, no company commander, I know more than you because I’ve been in the Army 20 years longer than you.’”

#### 5. Culture characteristics that support or prevent adaptability

N/R.

#### 6. Leadership characteristics that support or prevent adaptability

##### Support

(+) [Open / Listens] “Senior leaders, both officers and NCOs, listening to their subordinates”

Prevent

(-) [Closed] “Usually battalion and brigade level. . . . It’s not always the case but sometimes I would say ‘hey sir, here’s what I’m thinking . . .’ and [the response would be] ‘well I don’t know because [you’re just a Captain].’”

(-) [Overconfident / Closed]. “senior leaders need to get over themselves sometimes . . . I know you’re [senior commanders] smart, that’s why you’re a commander, but at the same time you don’t know everything, and receive that input.”

## Interview Summery #6: LTC QM 6

Interview #6\_Bailey\_MMAS\_BCT Adaptability

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 18

Branch (Army): Logistics

Previous Duty Positions held: Support Operations Officer, SGS (DIV), and Battalion Commander

Deployments: Operation Iraqi Freedom (2 tours)

### 1 Description of an adaptive organization:

-[Understand/Aware/Flexible/Agile] An adaptive organization to me . . . is an organization that understands commander's intent, understands that our capabilities are based off what resources are available . . . (personnel, equipment, and training) . . . understands commander's intent, understands who they are [capabilities] . . . can then take a look at the situation, take a look at the mission, and adapt where they're at, as far as personnel-equipment-training, to get after the commanders intent."

-[Values/Agility/Flexibility]"I think that's going to require . . . what I call a "sustainer ethos," which is the ability to think on your feet of course, be agile, anticipate . . . if you have all those things, and I think if you have empowered junior leaders, I think adaptability is something that will naturally take place."

-[Responsive] "Again, adaptive, agile and anticipating the needs of the command beforehand obviously will help ensure that you can always meet that requirement at 100%."

## 2. Recommended strategies for enhancing adaptability

-[Context/Iterative]. “to me successful strategies to get after that are training, leadership development, and trained for the situation where you may not have all your personnel.”

-[Context/Holistic]. “also working outside the MOS would be necessary as well . . . you might have seen cooks knocking down doors and clearing houses just because they’ve got to do it . . . [to accomplish the commander’s intent].”

-[Holistic/Inclusive/Context/Decentralized] “*Little groups of Roughriders* takes principles [from the culture] of the 82d Airborne Division, where I had the opportunity to serve as young airborne lieutenant, which was the *little groups of paratroopers*, which of course takes its name from the D-Day invasion where paratroopers landed, took accountability, different patches but it didn’t matter, everybody had the right focus, the right pride, and elite-ness and they went after their commander’s intent. . . . So what I’ve done is [to take] a vision, the Roughrider 6 vision, which starts with small groups of elite, agile, adaptive, disciplined, physically fit troopers that are empowered to operate under commander’s intent and get after that intent under any condition. . . . So what we’ve done is unveiled it under four different areas under 1) pride, 2) camaraderie, 3) discipline and 4) empowerment, and under each one of those we talk about honoring who we are as an organization, our units history, again instilling culture of that history, making sure there’s pride that runs through the organization through each soldier, and that pride comes from taking care of the [BCT], being a disciplined organization, being ready for combat, and taking care of our equipment and our people. . . . Part of the forcing function of the little groups of Roughriders program are OPDs, LPDs and even soldier level PDs, as well as family PDs, believe it or not, where we can educate family members on the local laws

associated with . . . domestic violence, local laws associated with DUI, so they are now part of the solution and understanding the ramifications of their actions or inactions as a family member. . . . So leadership, professional development, soldier development, I think I'd throw family professional development programs in there . . . the way we got after this to . . . get buy-in, if you will, from the soldiers was a team concept where I introduced the concept of how do we reduce indiscipline . . . sort of shape things a little bit so they can understand [the concept], and then allow the soldiers to [discuss the concept] and then come back to us. . . . But it began with that vision of elite small groups of adaptive, physically fit Roughriders, and then from that came 'how do we get there from here'; education programs; and then I think this building of small unit teams with the distinguished platoon and platoons compete against a certain standard forces that function to get after what we are trying to get after in this culture."

(+) [Holistic/Inclusive/Decentralized]. "to instill the culture that I believe is required . . . we are conducting OPDs, LPDs, and I talk to soldiers all the time about the . . . 'spirit of the Roughrider,' and how small groups of soldiers that feel they are elite, are disciplined, and physically fit . . . can get after anything, and again it gets back to what you're talking about as adaptability."

### 3. Structures that support or prevent adaptability

#### Support

(+) [Empowerment] "the empowerment piece, is to empower them . . . right now, we're starting small . . . starting with Squad Leaders, empowering them to conduct their own PT sessions . . . which is a small thing . . . but what we are trying to do is obviously grow that such that if they can lead a PT session, we can continue to build on that and then we



may find ourselves down range with SGT E-5s that can take on any kind of mission and get after it for us . . . in any situation.”

Prevent

*N/R.*

4. Climate characteristics that support or prevent adaptability

*NR.*

5. Culture characteristics that support or prevent adaptability

Support

(+) [Understanding/Assessment]. “it goes back to leadership . . . if the leader has instilled this culture of understanding who you are-personnel-equipment-training, and then be able to adapt to whether there’s shortcomings in personnel, shortcomings in equipment, shortcomings in training . . . the bottom line is we have a commander’s intent that we have to get after.”

Prevent

*No response.*

6. Leadership characteristics that support or prevent adaptability

Support

(+) [Understanding/Motivation]. “I talk about culture to my commanders so they are cognizant of things that might be in and around their area as far as artifacts are concerned, or the lack of artifacts is something I point out to them [such as] ‘hey, you know, historical aspects of the organization, pride in the organization, etc.’”

(+) [Understanding/ Assessment / Awareness]. “we need to be cognizant of culture that we step into . . . of course I’m new into command here, only been in command about 60

days now, so I spent some time looking into what are some of the assumed norms if you will, or assumed thoughts and feelings that my soldiers think are the right ways to do things.”

(+) [Share Experience] “I obviously leverage the experience I’ve had . . . not only in the first deployment [in the BCT support battalion] . . . but also as an SGS [at the division level] . . . so I try to communicate my experience to my team. . . . I have that equation that has worked well for me entire career, personnel, equipment and training, understands what my capabilities are and then the [formula], what are your requirements, what are your capabilities, and if there’s a delta there be cognizant of it and get after it. . . . Having those simple but yet powerful equations in my mind and instilling those . . . all the way down to the junior leaders I think is one thing I can do as a leader to make sure that we can be an adaptable organization.”

Prevent

N/R.

## Interview Summery #7: LTC FA 7

Interview #7\_Bailey\_MMAS\_BCT Adaptability

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 20

Branch (Army): Field Artillery

Previous Duty Positions held:

Deployments: Operation Iraqi Freedom (3 tours)

### 1. Description of an adaptive organization

-[Aware/Responsive]“An adaptive organization recognizes that things change and that it must be prepared to anticipate said changes and react to them in a timely manner.”

### 2. Recommended strategies for enhancing adaptive behavior

-[Holistic/Inclusive/Iterative/Decentralized]“Ultimately it comes down to creating a culture where everyone in the organization understands the vision, has buy-in, sees action in the direction of the vision, and is afforded the opportunity to practice what is preached.”

-[Holistic/Inclusive/Iterative] “Creating a culture requires having a vision that is communicated / articulated to all members of the organization and would include core values / competencies. . . . All members of the organization must have buy-in / believe in the vision. . . . Leaders must demonstrate / live the vision, provide training / educational / feedback opportunities, and empower their subordinates to help bring the vision to fruition. . . . Actions are much greater than words—the leaders must avoid any actions that are counter to the culture that they are trying to breed.”

### 3. Structure characteristics that support or prevent adaptability

#### Support

(+) [Decentralized/Empowerment] “Decentralization and empowerment of subordinates and the subsequent acceptance of said empowerment are essential characteristics.”

#### Prevent

(-) [Centralized / Rigid] “I believe the number one barrier is bureaucracy. . . . Stringent rules for how to do things and rigid structure (which in itself is a precept of the military) do not enhance or lend themselves to enhancing adaptability.”

(-) [Learning Opportunities] “However, very few leaders inject learning opportunities into subordinate unit planned events—we have a rigid structure / unwritten rules that prevent most organizations from doing so.”

### 4. Climate characteristics that support or prevent adaptability

#### Support

(+) [Open/Dialogue] “Open dialogue is another [characteristic].”

#### Prevent

*No Response.*

### 5. Culture characteristics that support or prevent adaptability

#### Support

(+) [Learning / Opportunities] “If the organization has a culture that breeds this type of activity, then everyone learns to anticipate changes and have alternate COAs / contingency plans. There is a limit on obtrusiveness—you don’t want impact the planned training too much—balance is key.”

### Prevent

(-) [Closed Culture] “New personnel are wary as they enter a new organization and the “old hats” often look at them as outsiders.”

### 6. Leadership characteristics that support or prevent adaptability

#### Support

(+) [Learn / Opportunities] “Leaders provide opportunities [to learn].”

(+) [Unity of Effort] “Regular interaction with leaders (and followers) at all levels to ensure they understand the organizational vision for developing / maintaining adaptability.”

(+) [Learning / Experimental] “Underwriting honest mistakes / failures.”

(+) [Learning structures] “Providing structured adaptive learning opportunities (via OPD/NCODP) and executing AARs that focus on processes and competencies rather than outcome.”

(+) [Capabilities / Understanding]. “understand the capabilities of his subordinate leaders and their innate ability to be adaptive.”

(+) [Decentralized / Learn] “He must foster decentralization and the opportunity to learn / evolve throughout his organization.”

(+) [Open/Approachable] “Fostering open dialogue and demonstrating a willingness to implement good ideas can also aid in creating a learning organization.”

#### Prevent

(-) [Near Term Focus] “Additionally, units typically have huge leadership changeover early in the ARFORGEN cycle . . . while this presents an opportunity to “start fresh” and build an adaptive organization, I believe most leaders are overcome with getting their feet

on the ground at the new duty station, determining the road ahead, and executing the myriad of tasks associated with reintegration, RESET, and pre-deployment training.”

## Interview Summary #8: COL AR 8

Interview #8\_Bailey\_MMAS\_BCT Adaptability

Interviewer: Bailey, Desmond V.; MAJ, US Army

Participant: Requested to remain anonymous

Years in Service: 20

Branch (Army): Armor

Previous Duty Positions held: HHT Commander, Battalion Operations Officer, Brigade Operations Officer, Battalion Commander, and Brigade Commander

Deployments: Operation Desert Storm (1); Operation Iraqi Freedom (3 tours)

### 1. Description of an adaptive organization:

- [Responsive/Aware/Flexible] “I think that an organization that is adaptive can quickly react to changes in their operating environment, be it changes in resource availability, changes in time, and changes in key leadership; and all those changes taken into account, [the organization] can still perform at a high level.”

### 2. Recommended strategies for enhancing adaptability

-[Holistic/Context/Inclusive] “I think there are three pillars to not only an individual’s success but an organization’s success. . . . One is the education of its leaders . . . education is very important because it provides a foundation from which you can start to build the framework for a successful organization. . . . I think training is the second pillar . . . training that replicates the environment that an organization may [operate it]. . . .

With that said the training has to be vigorous, realistic and get at the crux of what the organization has to accomplish. . . . The third is experience. . . . I think that we have a very combat seasoned force, with leaders and junior officers and NCOs and soldiers that

are capable of operating a pretty high level. . . . And the thing that kind of pulls out all the others is communications—an open dialogue amongst leaders in the organization, laterally as well as horizontally, and also getting the feedback of subordinates and taken that into account as you move forward, leveraging that combat experience that we have.”

### 3. Structure characteristics that support or prevent adaptability

#### Support

N/R.

#### Prevent

(-) [Resources] “The other thing is . . . that I truly think that resource constraints can cause an organization to have trouble with its ability to adapt to changes in the OE. . . . Time for one . . . [and] training venues to allow the organization opportunities to adapt to changes that they can control.”

### 4. Climate characteristics that support or prevent adaptability

#### Support

(-) [Trust/Confidence] “If soldiers don’t feel that they are special, and they are part of something special, it’s hard to build an agile organization that can adapt to changes in the OE because there’s a requirement for trust and confidence in your leaders when changes are taking place. . . . Sometimes you might not know what’s best for you, but your leaders will carry the day.”

#### Prevent

N/R.



## 5. Culture characteristic that support or prevent adaptability

### Support

N/R.

## 6. Leadership characteristics that support or prevent adaptability

### Support

(+) [Model/Approachable/Communicates] I think . . . first is that leaders have to lead by example. . . . I think they have to walk their talk. . . . I think they have to be approachable . . . and they have to apply the golden rule you know, treat others as you would like to be treated yourself. . . . And then I think that all of us are different in our make-up; some of us are introverts, others are extroverts; through repetition and touches some of those walls and barriers get broken down and allow more candor and more honest discussions about where we've been, where we are, and where we're going . . . both on an individual level and as an organization."

(+) [Understanding / Awareness] "Well . . . it's a lot about leadership, and it's about engaged leaders that have a sense and understanding of the capabilities of their organization and pushing their organization to maximize results."

(+) [Competence / Confidence] "And leaders that have the competence and confidence in their own abilities to kind of bring that out."

(+) [Purpose / Direction]. "leaders have to provide the focus and direction for an organization. They've got to push the organization and its leadership to learn to their abilities."

(+) [Connected / Awareness] "They have to stay engaged with their soldiers so that they understand what's on the minds of their soldiers."

(+) [Care] “They have to care about their soldiers and their families.”

(+) [Feedback / Approachable / Open] “I think that [soliciting feedback] might make them a better leader. . . . There is a time and a place where a leader has to kind of take the reins and just move out, if it’s because of inexperience in the organization or it’s because of time, he’s got to move out smartly and take people with him. . . . But that aside, I think that successful leaders do solicit feedback. . . . Now, when you solicit feedback, I mean, not all those ideas are within the realm of reasonable, not all those ideas are good ideas, but I think successful leaders will show that it’s an open forum to challenge ideas, challenge the status quo. . . . But in doing that I think that leaders up front need to ensure that their subordinates understand that we can discuss and dialogue in private, but then once a decision is made, we all salute the flag and move forward.”

## APPENDIX B

### ANALYSIS OF FINDINGS

This appendix contains the data collection forms used by the researcher for analysis of findings.

Adaptive Behavior - Self-Organization (Findings)				
Source	Collaborative	Motivated	Flexible	Agile
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	-
Senge (1990)	X	X	X	-
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	-	X	X	-
LTC-QM-6	-	X	X	X
LTC-FA-7	-	X	X	X
COL-AR-8	X	-	X	X
CPT-FA-2	X	X	X	-
CPT-AR-3	X	-	-	-
CPT-AR-5	X	-	X	-
MAJ-MI-1	-	X	X	X

### Adaptive Behavior - Learning (Findings)

Source	Knowledgeable	Competent	Organized	Alert
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	-	X	X	X
LTC-QM-6	-	-	-	X
LTC-FA-7	X	-	-	X
COL-AR-8	X	X	X	X
CPT-FA-2	X	X	X	-
CPT-AR-3	X	X	-	-
CPT-AR-5	X	-	X	-
MAJ-MI-1	X	X	-	X

### Adaptive Behavior – Intelligence (Findings)

Source	Understand	Judgment	Innovative	Responsive
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	-	-	X	-
LTC-QM-6	X	-	-	X
LTC-FA-7	X	-	-	X
COL-AR-8	X	X	X	X
CPT-FA-2	X	X	-	X
CPT-AR-3	X	-	-	-
CPT-AR-5	-	X	X	X
MAJ-MI-1	X	-	X	X

4-6 Behavior	Bennet (2004)	Brown (2009)	Senge (1990)	Sull (2009)
Private Industry	<ul style="list-style-type: none"> <li>- Teams (workers collaborate and share knowledge)</li> <li>- Systems (balanced understanding of the overall needs of the organization)</li> <li>- Learning (increase in skills and capabilities)</li> <li>- Creativity (increase in new ideas and effective solutions to problems)</li> <li>- Sharing (widespread sharing of ideas, opinions and information – increased speed and accuracy of Flow)</li> <li>- Freedom &amp; Flexibility (greater ability to effect change and respond)</li> <li>- Managing Change (ability to ID and overcome barriers to change)</li> </ul>	<ul style="list-style-type: none"> <li>- Divergent &amp; Convergent Thinking (more creative choices, and effective decisions)</li> <li>- Analysis &amp; Synthesis (whole ideas created within constraints, identifying meaningful patterns)</li> <li>- Prototyping (openness to experimentation)</li> <li>- Reinforcing elements (more effective connections internally and externally, reduction of boundaries, greater collaboration)</li> </ul>	<ul style="list-style-type: none"> <li>- Systems Thinking (Holism, interconnectedness)</li> <li>- Personal Mastery (Being, generativeness, connectedness)</li> <li>- Mental Models (Love of truth, openness)</li> <li>- Shared Vision (commonality of purpose, partnership)</li> </ul>	<ul style="list-style-type: none"> <li>- Mental Maps (Ability to incorporate new information, reject old assumptions – re think others, and reconfigure the map)</li> <li>- Reinforcing Commitments (flexible structure of commitments that translates organizational strategy into action and avoid active inertia)</li> <li>- Anomalies (use of anomalies to update ongoing plans/actions)</li> <li>- Improvisation Teams (use of Rush data, ID patterns and anomalies, continuous interaction and dialogue, develop innovative changes to the map)</li> </ul>
	FM 3-0 (2008)	FM 6-0 (2003)	FM 6-22 (2006)	FM 7-0 (2008)
US ARMY DOCTRINE	<ul style="list-style-type: none"> <li>- Ability to operate effectively in any environment</li> <li>- Quickly deploy</li> <li>- Shape conditions in the operational environment (external influence)</li> <li>- Ability to sustain operations</li> <li>- Easily change task organization (Flexible)</li> <li>- Self-sufficient</li> <li>- Ability to execute Battle Command (Understand, Visualize, Describe, Direct)</li> <li>- Creative thinking Leaders</li> </ul>	<ul style="list-style-type: none"> <li>- Command Presence</li> <li>- Skilled Judgment / Intuitive Decision Making</li> <li>- Unity of Effort</li> <li>- Subordinate Initiative</li> <li>- Situational Understanding</li> <li>- Accurate Anticipation / Effective Response to change</li> <li>- Ability to execute Battle Command (understand, Visualize, Describe, Direct)</li> <li>- Ability to execute the Operations Process (Plan, Prepare, Execute, Assess) Iterative</li> <li>- External Focus</li> <li>- Creative thinking</li> </ul>	<ul style="list-style-type: none"> <li>- Comfortable entering unfamiliar environments</li> <li>- Ability to operate under mission orders</li> <li>- Exercise disciplined initiative</li> <li>- Rapid assessment of a situation and implementation of effective means to achieve desired results</li> <li>- Confident / Competent</li> <li>- Collaborative / Teamwork</li> <li>- Demonstrates moral courage</li> <li>- Shared Understanding</li> <li>- Experimental</li> <li>- Sound Judgment / Intuitive decision making</li> <li>- Innovative</li> </ul>	<ul style="list-style-type: none"> <li>- Proficiency in "most likely" tasks</li> <li>- Subordinates willing to execute initiative</li> <li>- Competent and confident units and leaders</li> <li>- Capability to operate across the spectrum of conflict</li> <li>- Leaders know and enforce standards</li> <li>- Leaders and units retain core competencies</li> <li>- Leaders execute the art and science of battle command</li> <li>- Leaders can execute mission command</li> <li>- Leaders and organizations can adapt to changing situations</li> <li>- Leaders that can think creatively</li> </ul>
	CPT-FA-2 (In Command)	CPT-AR-3 (In Command)	CPT-AR-5 (Command Complete)	MAJ-MI-1 (BCT Staff)
ARMY/BCT Leaders	<ul style="list-style-type: none"> <li>- A Unit that can receive a mission outside it's standard METL and execute that mission by conducting MDMP, proper resourcing and implementation in an orderly fashion</li> </ul>	<ul style="list-style-type: none"> <li>- A Unit that learns from experiences and shares lessons learned during OPDs</li> </ul>	<ul style="list-style-type: none"> <li>- An organization that listens to their subordinates and takes their ideas and executes the mission</li> </ul>	<ul style="list-style-type: none"> <li>- Proactive</li> <li>- Can react to multiple environments</li> <li>- Can function in High and Low intensity conflicts</li> </ul>
	LTC-FA-4 (In Command)	LTC-QM-6 (In Command)	LTC-FA-7 (Retired DCO)	COL-AR-8 (In Command)
ARMY/BCT Leaders	<ul style="list-style-type: none"> <li>- An organization that embraces the mission at hand and is able to execute the given mission</li> <li>- Able to implement ideas and changes in anticipation of (external) events</li> <li>- Well grounded in the basics</li> </ul>	<ul style="list-style-type: none"> <li>- An organization that understands commander's intent, understands their capabilities, can look at the situation and adapt where they are to execute the mission within the commander's intent.</li> <li>- Be able to think on your feet, agile, anticipate.</li> </ul>	<ul style="list-style-type: none"> <li>- An adaptive organization recognizes that things change and that it must be prepared to anticipate said changes and react to them in a timely manner.</li> </ul>	<ul style="list-style-type: none"> <li>- An organization that is adaptive can quickly react to changes in their operating environment, be it changes in resource availability, changes in time, and changes in key leadership; and all those changes taken into account, [the organization] can still perform at a high level.</li> </ul>

Strategies (Findings)					
Source	Holistic	Iterative	Context	Inclusive	Decentralized
Bennet (2004)	X	X	X	X	X
Brown (2009)	X	X	X	x	X
Senge (1990)	X	X	X	x	X
Sull (2009)	X	X	X	X	X
FM 3-0 (2008)	X	X	X	X	X
FM 6-0 (2003)	X	X	X	X	X
FM 6-22 (2006)	X	X	X	X	X
FM 7-0 (2008)	X	X	X	X	X
LTC-FA-4	X	X	X	X	X
LTC-QM-6	X	X	X	X	X
LTC-FA-7	X	X	X	X	X
COL-AR-8	-	-	X	X	-
CPT-FA-2	-	X	-	X	X
CPT-AR-3	-	-	X	X	-
CPT-AR-5	X	X	X	X	X
MAJ-MI-1	X	-	X	X	X

4-7 Strategy	Bennet (2004)	Brown (2009)	Senge (1990)	Sull (2009)
Private Industry	<ul style="list-style-type: none"> <li>-Create a shared vision</li> <li>-Build the business case (assess/Buy-In)</li> <li>-Demonstrate leadership commitment</li> <li>-Facilitate common understanding</li> <li>-Set limits, share new ideas, words and behaviors</li> <li>-ID the strategic approach (Holistic, Iterative)</li> <li>-Develop the structure (Internal/External)</li> <li>-Measure and Incentive</li> <li>-Provide Tools</li> <li>-Promote learning</li> <li>-Envision an even greater future (Constantly improve the organization)</li> </ul>	<ul style="list-style-type: none"> <li>-Begin at the beginning (brainstorm ideas &amp; systems)</li> <li>-Fail Early, Fail Often (experiment / Learn)</li> <li>-Get professional Help (Subject Matter Experts)</li> <li>-Share the inspiration (Motivation / Buy-in)</li> <li>-Integrate new data during the process (Iterative)</li> <li>-Holistic and systematic approach to the design</li> <li>-Find Talent any way you can (Build Teams)</li> <li>-Design for the cycle (Same team start to finish)</li> <li>-Improvisation (innovative culture / teams)</li> <li>-Network analysis (Internal and External)</li> </ul>	<ul style="list-style-type: none"> <li>-Integrate working and learning (Reflection before Action)</li> <li>-Starting where you are with whoever is there (Assess)</li> <li>-Becoming bicultural (Internal and external focus)</li> <li>-Creating practice fields (practice the precepts)</li> <li>-Connecting with the core (understand what people value / unleash creativity)</li> <li>-Building Learning Communities (Networks)</li> <li>-Working with the "other" (Porous Boundaries)</li> <li>-Developing Learning Infrastructures (Training, Education, Practice, Research, Doctrine)</li> </ul>	<ul style="list-style-type: none"> <li>-Rush Data (porous boundaries and unfiltered information flow throughout the organization)</li> <li>-Organizational Hydraulics (Structures that transform higher goals into effective action) (Holistic)</li> <li>-Culture of Agility (empowered employees that seize opportunity)</li> <li>-Cohort of Vikings (Empowered managers that teach others, seize opportunity and ensure unity of effort)</li> <li>-Leaders Role (guide effort, manage resources, protect the culture and reward desired behavior)</li> </ul>
US ARMY DOCTRINE	<b>FM 3-0 (2008)</b> <ul style="list-style-type: none"> <li>-Expeditionary focus</li> <li>-Empower subordinates</li> <li>-Training (Candid assessments &amp; AARs)</li> <li>-Build Teams</li> <li>-Emphasize Mission Command</li> <li>-Develop original designs and allow for flexible execution</li> <li>-Maintain external focus</li> <li>-Unity of effort</li> </ul>	<b>FM 6-0 (2003)</b> <ul style="list-style-type: none"> <li>-Mission Command (Centralized Control, Decentralized execution)</li> <li>-Command and Control System (Holistic and Knowledge/Information based)</li> <li>-Operations Process (Iterative)</li> <li>-Mutual Understanding</li> </ul>	<b>FM 6-22 (2006)</b> <ul style="list-style-type: none"> <li>-Build Teams</li> <li>-External Focus</li> <li>-Learn to Adapt / Create a Learning Environment</li> <li>-Seek Challenges</li> <li>-Create a Positive / upbeat Climate</li> <li>-Identify opportunities for learning</li> <li>-Identify ways to become more efficient and effective</li> </ul>	<b>FM 7-0 (2008)</b> <ul style="list-style-type: none"> <li>-Training Strategy</li> <li>-Tasks to be trained, audience, objectives</li> <li>-Order in which tasks will be trained</li> <li>-Types of events used to create conditions</li> <li>-Conditions under which the tasks will be trained</li> <li>-Resources required</li> <li>-Alternative ways of training tasks</li> <li>-Top-Down/Bottom-Up Approach</li> <li>-Focus on core tasks</li> <li>-Change Conditions (Increase the difficulty of conditions, tempo, number of tasks being trained, number of personnel involved)</li> </ul>
ARMY BCT Leaders	<b>CPT-FA-2 (In Command)</b> <ul style="list-style-type: none"> <li>-Methodical, slow and rational approach</li> <li>-Phases</li> <li>-Long Range Plan</li> <li>-Empower subordinates to develop training plans / Feedback</li> <li>-Conduct Situational Training Exercises</li> <li>-Demonstrate Patience</li> <li>-Focus on Core Tasks / metrics</li> </ul>	<b>CPT-AR-3 (In Command)</b> <ul style="list-style-type: none"> <li>-Learns from other organization's experiences</li> <li>-Focuses on current events –what's relevant right now</li> <li>-Provide soldiers with doctrine in other media formats such as books on tape or MP3 files for an iPod</li> <li>-Determine new ways to communicate to soldiers / Feedback</li> </ul>	<b>CPT-AR-5 (Command Complete)</b> <ul style="list-style-type: none"> <li>-Require subordinate leaders/commanders to write info papers on their experiences within their AO / Feedback / External Focus</li> <li>-Conduct AARs and follow them up with a plan of action to correct the problems identified</li> <li>-Conduct leader conferences to discuss current issues, solve problems, develop COAs / Teams / Purpose / Buy-in</li> <li>-Execute Mission Command / Decentralized Control</li> </ul>	<b>MAJ-MI-1 (BCT Staff)</b> <ul style="list-style-type: none"> <li>-Summarized</li> <li>-Climate</li> <li>-Training</li> <li>-Culture</li> <li>-Leadership</li> </ul>
ARMY BCT Leaders	<b>LTC-FA-4 (In Command)</b> <ul style="list-style-type: none"> <li>-Events that build subordinate and leader confidence</li> <li>-Performance metrics</li> <li>-Don't limit inputs</li> <li>-Holistic approach to problem solving / systems theory</li> <li>-Create flexible structures</li> <li>-Share information across the formation</li> </ul>	<b>LTC-QM-6 (In Command)</b> <ul style="list-style-type: none"> <li>-Develop a vision</li> <li>-Present the Vision and allow subordinates to provide feedback and modifications – buy-in</li> <li>-Teach subordinates how to execute within the vision through OPDs/LPDs/ Soldier training and informing families</li> <li>-Determine success metrics</li> </ul>	<b>LTC-FA-7 (Retired DCO)</b> <ul style="list-style-type: none"> <li>-Create a culture where everyone understands the vision, has buy-in, sees action in the direction of the vision and is afforded the opportunity to practice what is preached.</li> <li>-Vision must include core values and desired competencies.</li> <li>-Conduct training, provide educational opportunities and allow for feedback</li> </ul>	<b>COL-AR-8 (In Command)</b> <ul style="list-style-type: none"> <li>-Educate Leaders</li> <li>-Training (realistic and vigorous)</li> <li>-Experience (leaders gain experience)</li> <li>-Communication (Open dialogue and feedback)</li> </ul>

### Organizational Structure (Findings)

Source	Flexible	Porous	Decentralized	Feedback
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	X	X	X	X
LTC-QM-6	X	X	X	X
LTC-FA-7	X	X	X	X
COL-AR-8	-	X	-	X
CPT-FA-2	-	-	X	-
CPT-AR-3	-	X	-	X
CPT-AR-5	X	X	X	X
MAJ-MI-1	X	X	X	X

4-8 Structure	Bennet (2004)	Brown (2009)	Senge (1990)	Sull (2009)
Private Industry	<ul style="list-style-type: none"> <li>-must be compatible with the culture</li> <li>-supports the workforce in daily decision making</li> <li>-supports the long-term needs of the workforce</li> <li>-supports leader and management needs for control of resources</li> <li>-Operational Teams, Action Teams, Knowledge center, communities of practice, mesh network)</li> </ul>	<ul style="list-style-type: none"> <li>-Team size effects speed and efficiency</li> <li>-interdisciplinary vs. Multidisciplinary teams</li> <li>-Open spaces that facilitate rapid collaboration</li> <li>-Design spaces / "war room" / plans room</li> <li>-Connections between people</li> </ul>	<ul style="list-style-type: none"> <li>-Allows for reflection and action</li> <li>-Use of Teams</li> <li>-Empower subordinates</li> <li>-Decentralized control</li> <li>-Porous boundaries</li> <li>-Allows for feedback</li> <li>-Allocates resources</li> <li>-Enables External connections</li> <li>-Flexible to change</li> </ul>	<ul style="list-style-type: none"> <li>-Rush Data (Real Time, Unfiltered, Shared, Holistic)</li> <li>-Organizational structures (Agenda, priorities (resources), ability to develop shared objectives at each level, information systems that track performance at all levels, reward long-term thinking, partnership)</li> <li>-Use of Improvisational Teams</li> </ul>
	<b>FM 3-0 (2008)</b>	<b>FM 6-0 (2003)</b>	<b>FM 6-22 (2006)</b>	<b>FM 7-0 (2008)</b>
US ARMY DOCTRINE	<ul style="list-style-type: none"> <li>-Decentralized Control</li> <li>-Use of Teams</li> <li>-Informal atmosphere</li> <li>-Flexible</li> <li>-Knowledge Management (People, Processes, Technology)</li> </ul>	<ul style="list-style-type: none"> <li>-Minimum necessary control</li> <li>-Decentralized / Empower Subordinates</li> <li>-Information Flow throughout the organization</li> <li>-Teams / Staff Organization</li> <li>-Allocates resources effectively</li> <li>-Flexible</li> <li>-Informal atmosphere</li> </ul>	<ul style="list-style-type: none"> <li>-Build teams and processes (Encourage initiative and responsibility, Staff selection, IPRs and AARs)</li> <li>-Leverage Joint, Interagency and Multinational capabilities</li> <li>-Master resources and systems</li> <li>-Understand and synchronize systems</li> <li>-Synchronize tactical systems</li> </ul>	<ul style="list-style-type: none"> <li>-Army Training Management Model (Plan, Prepare, Execute, Assess)</li> <li>-Mission Essential Task List (METL)</li> <li>-Mission Focus Process: used to derive training requirements from a unit's core capabilities (4-5)</li> </ul>
	<b>CPT-FA-2 (In Command)</b>	<b>CPT-AR-3 (In Command)</b>	<b>CPT-AR-5 (Command Complete)</b>	<b>MAJ-MI-1 (BCT Staff)</b>
ARMY BCT Leaders	<ul style="list-style-type: none"> <li>-Decentralized control / empower subordinates</li> </ul>	<ul style="list-style-type: none"> <li>-enables external focus</li> <li>-enables access to real-time information</li> <li>-informs soldiers of where to find knowledge sources</li> <li>-Empowers subordinates to be able to figure things out on their own</li> </ul>	<ul style="list-style-type: none"> <li>-Meetings need to enable feedback and dialogue</li> <li>-Processes need to be flexible</li> <li>-Structures need to prevent micro-management for every task</li> <li>-Structures need to be open to subordinate suggestions for change</li> </ul>	<ul style="list-style-type: none"> <li>-SMEs are allowed to do their jobs (empowered)</li> <li>-Ease of access to Decision makers</li> <li>-Minimize approval layers</li> <li>-information flows throughout the organization and is received by those who require it for decision making</li> </ul>
	<b>LTC-FA-4 (In Command)</b>	<b>LTC-QM-6 (In Command)</b>	<b>LTC-FA-7 (Retired DCO)</b>	<b>COL-AR-8 (In Command)</b>
ARMY BCT Leaders	<ul style="list-style-type: none"> <li>-Porous/External focus – don't limit the inputs (information flow)</li> <li>-Flexible – allows for structural changes to adjust to the situation</li> <li>-Teams. Able to form task groups to conduct tasks – not hindered by MTOE</li> <li>-Give latitude to teams for task accomplishment</li> <li>-Empower subordinates</li> </ul>	<ul style="list-style-type: none"> <li>-Empower subordinates</li> <li>-Allow free flow of information</li> <li>-Allow subordinates to provide feedback on systems and metrics for success – flexible</li> <li>-Teams / little groups of "Roughriders" to accomplish tasks</li> </ul>	<ul style="list-style-type: none"> <li>-Empower subordinates</li> <li>-Decentralized structures</li> <li>-Inject learning opportunities</li> <li>-Flexible structures</li> <li>-Ensure regular interaction between leaders and soldiers / subordinates</li> <li>- Incorporate AARs</li> </ul>	<ul style="list-style-type: none"> <li>-Quickly shift resources and personnel (Flexible)</li> <li>-External focus</li> </ul>

Organizational Culture (Findings)				
Source	Share	Focused	Creative	Proactive
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	X	X	X	X
LTC-QM-6	X	X	X	X
LTC-FA-7	X	X	X	X
COL-AR-8	X	-	-	-
CPT-FA-2	X	X	-	-
CPT-AR-3	X	-	X	X
CPT-AR-5	X	-	X	-
MAJ-MI-1	-	X	-	X

## Organizational Climate (Findings)

Source	Informal	Trust	Open	Positive
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	-	-	X	X
LTC-QM-6	-	-	X	X
LTC-FA-7	-	-	X	-
COL-AR-8	-	X	X	-
CPT-FA-2	-	-	X	X
CPT-AR-3	X	X	X	X
CPT-AR-5	-	-	X	-
MAJ-MI-1	X	X	X	X

	<i>Bennet (2004)</i>	<i>Brown (2009)</i>	<i>Senge (1990)</i>	<i>Sull (2009)</i>
<b>Private Industry</b>	<ul style="list-style-type: none"> <li>Action Culture</li> <li>Flow</li> <li>Collaboration</li> <li>Creativity</li> <li>Empowerment</li> <li>Communication and networking</li> <li>Adaptability</li> <li>Action Oriented</li> <li>Leadership</li> </ul>	<ul style="list-style-type: none"> <li>Culture of Innovation</li> <li>Experience Culture (Demonstrates empathy)</li> <li>Transforming the culture is as important as the design/prototype</li> <li>Empowering employees is an essential element of transformation</li> <li>Culture of Optimism</li> <li>Attitude of Experimentation</li> </ul>	<ul style="list-style-type: none"> <li>Holism</li> <li>Interconnected</li> <li>Being</li> <li>Generativeness</li> <li>Connectedness</li> <li>Love of truth</li> <li>Openness</li> <li>Commonality of Purpose</li> <li>Partnership</li> </ul>	<ul style="list-style-type: none"> <li>Culture of Agility (189)</li> <li>Values (Performance, Transparency, Informality, Partnership, Cost-consciousness)</li> </ul>
<b>US ARMY DOCTRINE</b>	<i>FM 3-0 (2008)</i>	<i>FM 6-0 (2003)</i>	<i>FM 6-22 (2006)</i>	<i>FM 7-0 (2008)</i>
	<ul style="list-style-type: none"> <li>Expeditionary Mindset</li> <li>Confident</li> <li>Mentally and Physically prepared</li> <li>Exercise Initiative</li> <li>Creative</li> <li>Innovative</li> <li>Agile</li> </ul>	<ul style="list-style-type: none"> <li>Create a climate of Trust and Mutual Understanding</li> <li>Build Teamwork</li> <li>Collaboration</li> </ul>	<ul style="list-style-type: none"> <li>Army Values (Loyalty, Duty, Respect, Honor, Integrity, Personal Courage)</li> <li>Warrior Ethos (Team Member, Mission Focused, Resilient, Disciplined, Care of Equipment)</li> <li>Expeditionary mindset</li> <li>Creative</li> <li>Innovative</li> <li>Agile</li> </ul>	<ul style="list-style-type: none"> <li>Subordinates willing to execute initiative</li> <li>Competent and confident units and leaders</li> <li>Capability to operate across the spectrum of conflict</li> <li>Desires tough, realistic training</li> </ul>
	<i>CPT-FA-2 (In Command)</i>	<i>CPT-AR-3 (In Command)</i>	<i>CPT-AR-5 (Command Complete)</i>	<i>MAJ-MI-1 (BCT Staff)</i>
<b>ARMY BCT Leaders</b>	<ul style="list-style-type: none"> <li>Cross-talk</li> <li>Crosswalk METLs</li> <li>Sharing information with other units and leaders</li> <li>Riflemen-First mentality</li> </ul>	<ul style="list-style-type: none"> <li>Open to different perspectives and experiences</li> <li>Open dialogue / open minded</li> <li>No fear</li> <li>Top-down driven – positive, open climate</li> <li>Soldiers and leaders should seek knowledge</li> <li>Collaboration and cross talk</li> <li>Be open to all comments during AARs / want to learn</li> </ul>	<ul style="list-style-type: none"> <li>Climate needs to foster dialogue between leaders and subordinates – Open</li> </ul>	<ul style="list-style-type: none"> <li>Subordinates are not afraid to make decisions</li> <li>Perceptions matter</li> <li>Open Climate – People able to report the truth</li> <li>Values – relevant training is the focus</li> <li>Positive Attitude</li> </ul>
	<i>LTC-FA-4 (In Command)</i>	<i>LTC-QM-6 (In Command)</i>	<i>LTC-FA-7 (Retired DCO)</i>	<i>COL-AR-8 (In Command)</i>
<b>ARMY BCT Leaders</b>	<ul style="list-style-type: none"> <li>Sharing information across the organization / sharing TTPs</li> <li>The best ideas start at the bottom in a COIN environment</li> <li>A culture that wants to take charge</li> <li>A culture that looks long-term</li> <li>Embraces the need to train</li> </ul>	<ul style="list-style-type: none"> <li>Instill a culture of understanding</li> <li>Teach subordinates about artifacts, unit history, build spirit</li> </ul>	<ul style="list-style-type: none"> <li>Culture must accept empowerment</li> <li>Culture must accept new personnel, ideas and perspectives</li> <li>Everyone learns to anticipate changes</li> <li>Open dialogue</li> </ul>	<ul style="list-style-type: none"> <li>Climate must foster trust in leaders</li> <li>Climate fosters candid feedback and honest discussions</li> </ul>



## Organizational Leadership (Findings)

Source	Purpose	T/C/M	Open	Role Model
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	-
LTC-FA-4	X	X	X	X
LTC-QM-6	X	X	X	X
LTC-FA-7	X	X	X	X
COL-AR-8	X	X	X	X
CPT-FA-2	-	X	X	X
CPT-AR-3	-	X	X	X
CPT-AR-5	-	-	X	-
MAJ-MI-1	-	-	X	X

4-10 Leadership	Bennet (2004)	Brown (2009)	Senge (1990)	Sull (2009)
<b>Private Industry</b>	<ul style="list-style-type: none"> <li>-Build trust</li> <li>-Demonstrate integrity</li> <li>-Possess motivation and skill</li> <li>-Social skills</li> <li>-Self-discipline</li> <li>-Articulate</li> <li>-Continuous learner</li> <li>-Team player</li> <li>-Nurture knowledge worker characteristics, behavior and skills</li> <li>-ID patterns that could harm the culture</li> <li>-Observe how work actually gets done</li> <li>-Facilitate social network analysis</li> <li>-Review existing policies, procedures and rules</li> </ul>	<ul style="list-style-type: none"> <li>-Empowering employees</li> <li>-Positive Attitude</li> <li>-Teach</li> <li>-Embrace constraints</li> <li>-Select the required skills for the team</li> <li>-Dialogue</li> <li>-Support collaboration</li> <li>-Observe for quality</li> <li>-Empathy</li> <li>-Emotional understanding</li> <li>-Allow time for experimentation/give permission to learn</li> <li>-Reduce organizational boundaries</li> <li>-Share best ideas</li> </ul>	<ul style="list-style-type: none"> <li>-Test systems/tools at work</li> <li>-build shared visions</li> <li>-build larger networks to diffuse innovations</li> <li>-Shape the environment</li> <li>-lead in developing guiding ideas about purpose, values and vision</li> <li>-Remove structural impediments to innovation</li> <li>-Be a role model, a designer, a teacher, a steward</li> <li>-Treat organizations as living systems</li> <li>-Willingness to experiment</li> <li>-Communicate</li> <li>-Create space for learning and invite people their</li> <li>-Identify gaps in organizational capacity</li> <li>-Be a learner first / Self development</li> <li>-Id what needs to be changed, and what needs to be conserved</li> <li>-Use influence instead of power</li> <li>-Implement changes and processes that can be sustained</li> </ul>	<ul style="list-style-type: none"> <li>-Be alert to opportunities</li> <li>-Demonstrate Initiative</li> <li>-Leverage experiences from young and seasoned employees</li> <li>-Be ambitious</li> <li>-Possess negotiation skills</li> <li>-Ability to work under pressure</li> <li>-Spend half their time developing talent and mentoring</li> <li>-Provide subordinates with a steady flow of opportunities.</li> </ul>
<b>US ARMY DOCTRINE</b>	<b>FM 3-0 (2008)</b>	<b>FM 6-0 (2003)</b>	<b>FM 6-22 (2006)</b>	<b>FM 7-0 (2008)</b>
	<ul style="list-style-type: none"> <li>-Confident &amp; Competent</li> <li>-Informed</li> <li>-Inspire and influence subordinates and external personnel/ leaders</li> <li>-Provide purpose, direction and motivation</li> <li>-Ensure shared understanding</li> </ul>	<ul style="list-style-type: none"> <li>-Empower subordinates</li> <li>-Create positive climate</li> <li>-Foster initiative</li> <li>-Provide minimal amount of control required to accomplish the mission</li> <li>-Conduct continuous assessment</li> </ul>	<ul style="list-style-type: none"> <li>-Lead Others (purpose, motivation, inspiration)</li> <li>-Lead by example (Communicate, Ensure Shared understanding )</li> <li>-Extends Influence Beyond the Chain of Command</li> <li>-Communicates</li> <li>-Creates Positive Environment</li> <li>-Developing (prepare self) and develops Leaders)</li> <li>-Accomplish missions consistently</li> <li>-Adapt by adapting / seek challenges</li> </ul>	<ul style="list-style-type: none"> <li>-Top-Down/Bottom-Up method for Training</li> <li>-Provide training focus, direction and resources;</li> <li>-Allow subordinates to develop objectives and requirements specific to their organizational needs and provide feedback on training proficiency</li> </ul>
<b>ARMY BCT Leaders</b>	<b>CPT-FA-2 (In Command)</b>	<b>CPT-AR-3 (In Command)</b>	<b>CPT-AR-5 (Command Complete)</b>	<b>MAJ-MI-1 (BCT Staff)</b>
	<ul style="list-style-type: none"> <li>-Minimize Distractions</li> <li>-Ability to stay calm</li> <li>-Don't push to hard</li> <li>-Provide mentorship</li> <li>-Take your job seriously- it's a lifestyle</li> <li>-Be a human being – treat soldiers with respect</li> <li>-Majors and Captains need to assume a mentorship role</li> </ul>	<ul style="list-style-type: none"> <li>-Leaders must be approachable</li> <li>-Establish a positive, open climate</li> <li>-Practice what you preach</li> <li>-Trust subordinates</li> <li>-Stay abreast of what's going on in the organization and the environment</li> <li>-Know what you are talking about and model the desired behavior</li> <li>-Teach, coach and mentor subordinates</li> <li>-Don't be afraid to learn from subordinates</li> </ul>	<ul style="list-style-type: none"> <li>-Leaders need to listen to subordinates</li> <li>-Leaders need to get over themselves and recognize that they don't know everything</li> </ul>	<ul style="list-style-type: none"> <li>-Accessible</li> <li>-Calm</li> <li>-Demand to train on as many situations as possible</li> <li>-Willingness to accept ideas/feedback from any MOS</li> <li>-Supports Recommendations for training by SMEs</li> <li>-Include subordinates in the decision making process</li> </ul>
<b>ARMY BCT Leaders</b>	<b>LTC-FA-4 (In Command)</b>	<b>LTC-QM-6 (In Command)</b>	<b>LTC-FA-7 (Retired DCO)</b>	<b>COL-AR-8 (In Command)</b>
	<ul style="list-style-type: none"> <li>-Leaders must recognize the need for change – it makes change easier on the organization</li> <li>-Give general guidance and allow subordinates to create solutions</li> <li>-Make sense (interpret information, events, develop solutions)</li> <li>-Be confident in your own abilities</li> <li>-Leadership is about influencing people to do something</li> <li>-Seek opportunities to allow subordinates to use their skills</li> </ul>	<ul style="list-style-type: none"> <li>-Instill a culture of understanding</li> <li>-Teach leaders what to look for in a culture</li> <li>-Spend time looking for assumed norms, thoughts and feelings that you soldiers think are the right ways to do things</li> <li>-Communicate your experience to other leaders and soldiers</li> <li>-Leverage experience within the organization</li> <li>-Empower subordinates</li> <li>-Know your capabilities and the capabilities of your soldiers</li> </ul>	<ul style="list-style-type: none"> <li>-Model desired behavior</li> <li>-Foster an environment that allows the culture to demonstrate desired characteristics</li> <li>-Underwrite honest mistakes and failures</li> <li>-Provide learning opportunities</li> <li>-Leaders must understand the precepts of adaptability and that is must evolve over time</li> <li>-understand the capabilities of subordinates and their ability to adapt</li> <li>-demonstrate a willingness to accept good ideas</li> <li>-Create a learning organization</li> </ul>	<ul style="list-style-type: none"> <li>-Lead by example</li> <li>-Understand the organization's capabilities</li> <li>-Competent</li> <li>-Confident</li> <li>-Provide focus and direction</li> <li>-Learn</li> <li>-Solicit feedback</li> </ul>

### Organizational Barriers (Findings)

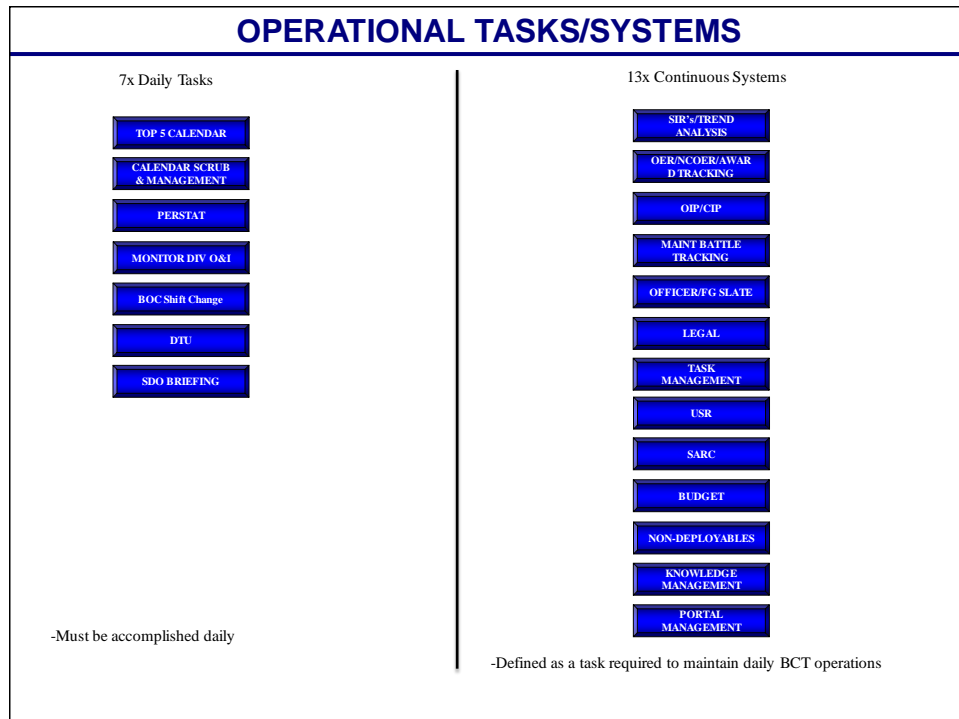
Source	Structure	Culture	Climate	Leader
Bennet (2004)	X	X	X	X
Brown (2009)	X	X	X	X
Senge (1990)	X	X	X	X
Sull (2009)	X	X	X	X
FM 3-0 (2008)	X	X	X	X
FM 6-0 (2003)	X	X	X	X
FM 6-22 (2006)	X	X	X	X
FM 7-0 (2008)	X	X	X	X
LTC-FA-4	-	X	-	-
LTC-QM-6	-	-	-	-
LTC-FA-7	X	X	-	X
COL-AR-8	X	-	X	-
CPT-FA-2	X	X	-	X
CPT-AR-3	-	X	X	X
CPT-AR-5	X	-	X	X
MAJ-MI-1	X	X	X	X

## APPENDIX C

### BCT PRACTICES

#### Brigade Combat Team Level

This appendix contains the BCT practices referenced in Chapter 5 to this thesis.



## DUTIES AND RESPONSIBILITIES

S1	AS1	S2	S4	S6	
SOLDIER/FAMILY READINESS LOE	NEWCOMERS BRIEF	PHYSICAL SECURITY	MAINT BATTLE TRACKING	PORTAL MANAGEMENT	COMBAT NET RADIO MGMT
CALENDAR MANAGEMENT	SOCIAL ROSTERS	ISOPREP	FLIPL	E-MAIL	VTC PLANNING
PERSTAT	CDR SCRIBE	CULTURAL TRAINING	UNIT COINS	PHONE ROSTER MANAGEMENT	ABCS SYSTEMS & NETWORK MGMT
PAI	SPONSORSHIP PROGRAM	RED TEAM TRAINING	BUDGET	MICROSOFT CLASSES	GBS CONFIG AND NETWORK MGMT
HAIL/FAREWELL		INTEL WIF OPDs	LICENSE/DISPATCH PROCEDURES	S6 MEETING	
OER/NCOERs		S2 INTEL FUSION	MOTORPOOL PROCEDURES	CMD AND STAFF INPUT TO S3	
AWARDS		G2/S2 MEETING	CONTRACTING/ PAY AGENTS	INFORMATION ASSURANCE	
OFFICER SLATE		MI GUNNERY	SUSTAINMENT WIF OPDs	COMSEC	
S1 MEETING		CoIST TNG	INPUT TO BCT USR MEETING	TACTICAL NETWORK MGMT	
BCT/DIV USR MEETINGS		INTSUMS	DIV MRR	AUTOMATIONS LIFECYCLE	
NON-DEPLOYABLES		FOUNDRY TNG	S4 MEETING	FREQUENCY MANAGEMENT	
PROMOTION BOARDS		CMD AND STAFF INPUT TO S3	DIV RESET/ SYNC MEETING	RETRANS TEAM CERTIFICATION	
POLICY LETTERS			CMD AND STAFF INPUT TO S3	RTO CERTIFICATION	
CMD AND STAFF INPUT TO S3					

**LOE LEGEND**

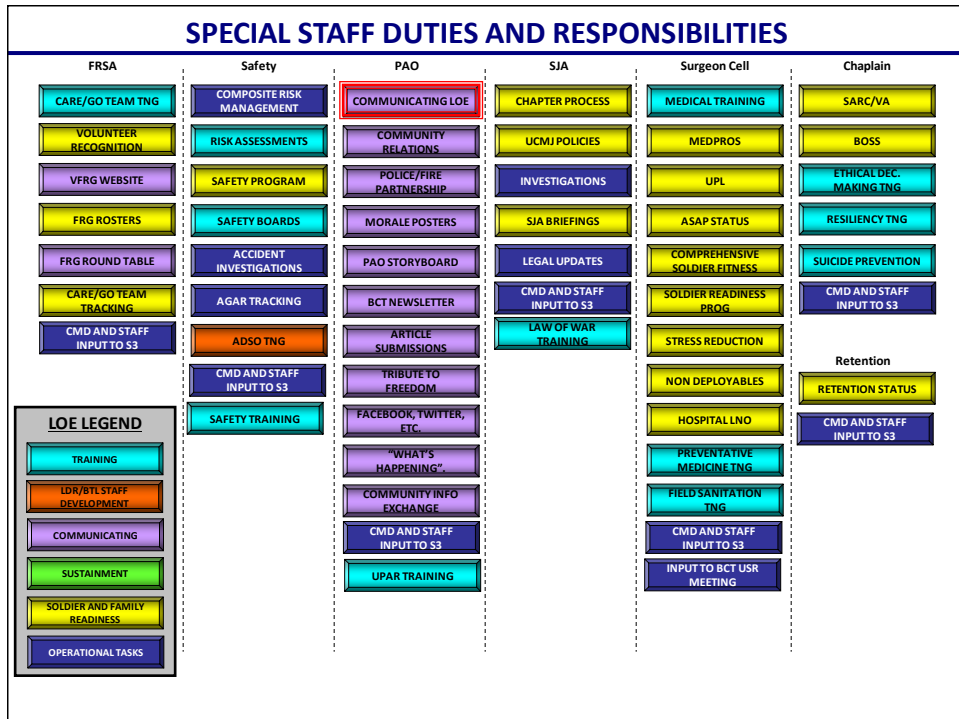
- TRAINING
- LDR/BTL STAFF DEVELOPMENT
- COMMUNICATING
- SUSTAINMENT
- SOLDIER AND FAMILY READINESS
- OPERATIONAL TASKS

## S3 DUTIES AND RESPONSIBILITIES

S3	S3 Operations	S3 Training	Fires and Effects	Force Protection	S3 Plans
CYCLIC TNG GUIDANCE	TOP 5 CALENDAR	TRAINING LOE CHIEF: MAICOLF	LDR/BTL STAFF DEV LOE	OIP/CIP	PLANS UPDATE
UNIT ASSESSMENT	MONITOR DIV O&I	SIMULATIONS Requests/Tracking	CTC OC RIDE ALONGS	USR	PLANS TRACKER
APPROVE DTU	DTU/Task Management	BCT TNG MTG	VIP/DV VISITS	GANG AWARENESS BRIEFING	OPORDS/CONOPS
LOE OVERSIGHT	CNO/CAO/FUNERAL DETAIL	TNG HIGHLIGHTS & SCHEDULES	JOINT FIRES TNG	MP TNG	LONG RANGE CALENDAR
WEEKLY S3 MTG	BATTLE DRILLS	LAND Request/Tracking	EW TNG/TRACKING	CBRNE TNG	S3 SECTION SYNCH MTG
REVIEW DIV SUBMISSIONS	COMMAND BRIEFS	RANGE SCENARIOS	TOCSOP/TACSOP UPDATES	ENGINEER TNG	TNG GUIDANCE
S3 SGM	RECLAMAS	TROOP/NCOES SCHOOLS	DIGITAL TNG	DA FORM 4833 TRACKING	CYCLIC TNG BRIEFS
BOC	CMD & STAFF CONSOLIDATION	AMMO Forecast/ Request	C2 DIGITAL MG COURSE	NON-LETHAL MUNITIONS/TNG	
TOC/TAC SET UP	SIR PROCESSING	MTT Requests/Tracking	BCT AARS	FACILITIES IMPROVEMENT	
BRAG CYCLE Management	DIV BUA	TRANS Requests/Tracking	ABCS MANNING	IRON HORSE WEEK	
MTT OVERSIGHT	SDO BRIEFING	RESOURCE USAGE REPORT	COMPANY CP STANDARDS	BCT ORG DAY	
CO CP INSPECTIONS	OPSUM	TAS-C Requests/Tracking	KNOWLEDGE MANAGEMENT	MILITARY WORKING DOGS	
TMPs	ROLLING BUB	MINI CDR/ISG COURSE	NEGOTIATIONS TNG	WARRANT CHECKS	
TEAM LEADER COURSE	Short/Near Term and BOC Calendars	TERP MANAGEMENT	FIRES WIF OPDs	MAP PRODUCTION	
WEEKLY OPS SGM MTG	EXCHECKS	DVRS TNG PROGRAM		POW TRACKING	
	GREEN 2 REPORTS	INSTALLATION TRMM		FORCE PRO WIF OPDs	

**LOE LEGEND**

- TRAINING
- LDR/BTL STAFF DEVELOPMENT
- COMMUNICATING
- SUSTAINMENT
- SOLDIER AND FAMILY READINESS
- OPERATIONAL TASKS



Crisis Action Teams	
The following Crisis Action Teams are assembled for Crisis Planning:	
<p>TEAM #1: Short Suspense Operation</p> <ul style="list-style-type: none"> <li>-BDE S3 (Team Lead)</li> <li>-BDE S1</li> <li>-BDE S2</li> <li>-BDE S4</li> <li>-BDE S6</li> <li>-BDE Planner</li> <li>-BDE OPS SGM</li> <li>-BN LNOs</li> </ul>	<p>TEAM #2: Serious Incident</p> <ul style="list-style-type: none"> <li>-BDE XO (Team Lead)</li> <li>-BDE S1</li> <li>-BDE S3</li> <li>-BDE S4</li> <li>-BDE PAO</li> <li>-BDE Surgeon</li> <li>-BDE Chaplain</li> <li>-BDE Safety</li> <li>-BDE JAG</li> </ul>

## Battalion Level

<b>DAILY TASKS</b>			
CALENDAR UPDATE	TOC DATA BOARD	GRIDSUM	<p><b>40x Tasks</b></p> <p>-Defined as a task required to maintain daily squadron operations</p> <p>-Must be performed each day</p>
BATTLE TRACK	UPDATE COMBAT PWR	HUMINT COLLECTION	
OPN CALENDAR (SUMMARY)	COP TRACKER	DETAINEE MANAGEMENT	
BLUE 1	FORCE PRO STATUS	LINK DIAGRAM UPDATE	
PATROL MATRIX	PROJECT MANAGEMENT	TGT PKCT UPDATE	
DAILY FRAGO	PROJECT MANAGEMENT	UAV OBSERVER	
EXMAT TRACK	FECC SYNC	PATROL DEBRIEFS	
CPOF REPORTS	LOGSTAT	UPDATE PIR	
PATROL TRACKER	MONEY MANAGEMENT	BLUFORCE TRACKER	
ROLLING BUB	SAFETY UPDATE	CALENDAR UPDATE	
TDF FIRES	SOI MANAGEMENT		
ISR MATRIX	PERSTAT		
CCG MANAGEMENT	PATIENT TRACKER		
ISF MANAGEMENT	MEDPROS		
DAILY TOC LOG	DRUMBEAT		
A2C2 (RAVEN/CCA/CAS)	TERP MANAGEMENT		

<b>VARIABLES &amp; TRAINING</b>			
STORY BOARD	TST	CONDOLENCE PAYMENTS	RANGE ALLOCATION
OPSUM	SHORT SUSPENSE	WALK-IN	TRAINING CONCEPT
CONOP	MEDIA	AMR	TNG RISK ASSESSMENT
SIGACT	LN CONTRACTORS	EWR	TNG QA/QC
ISF ACTIONS	SOI ENGAGEMENTS		AMMO
BCT BRIEFS	FLIPL		TNG TRACKER
IO COUNTERFIRE	EML		SQDN TNG STATS
DETAINEE OPNs	VIP		
PROMO BOARDS	COURT		
UPDATE GRAPHICS	SOLDIER MOVES		
OER/NCOERs	SCO DECISIONS		
AWARDS	CSM DECISIONS		
SOI NOTES	SPECIAL TNG		
MAP PRODUCTION	E-MAIL		
ISOPREP	SHEIK MEETINGS		
AMMO REQUESTS	NAHIA MEETINGS		

## MEETINGS & PRODUCTS

STAFF HUDDLE	BCT MAINT MTG	BCT NON-LETHAL	CRITICAL SUPPLY TRACKER	OER/NCO TRACKER
NET CALL	DETAINEE REVIEW BOARD	BCT FORCE PRO	HVI LIST	TDF TRACKER
CMD GRP SYNC	BCT TGT MTG	CONOP BRIEFS	DETAINEE TRACKER	STORY BOARD
LOGSYNC	FUSION	DAILY BUB	THREAT ASSESSMENT	OPSUM
CPOF UPDATE		LOGSYNC	DAILY OPN METRICS	SIGACT
ISF MTG		CPOF UPDATE	ATTACK TREND ANALYSIS	BLUE 1
BCT FP MTG		ISF MTG	REPORTS TRACKER	BLUFORCE TRACKER
JD MEETING		BCT FP MTG	PIR TRACKER	USR
TGT MEETING		TGT MTG SLIDES	ISF TRACKER	BCT BUB
QADA COUNCIL		PROJECT TRACKER	LINK DIAGRAM	
QADA SECURITY MTG		ISR FOCUS SLIDE	VIP BRIEFS	
CDR CONFERENCE		OPN METRICS	A2C2 PLAN	
AO ASSESSMENT		OPNs TRACKER	TOC BOARDS	
ISR/OPN SYNC		CCG TRACKER	CUA/SCUA	
CUA/SCUA		TGT PACKET	FUSION	
BCT Logistics MTG		GRINSUM	AO ASSESSMENT	

## TOC DAILY TASKS & RESPONSIBILITIES

XO	BTL CPT	TOC NCO	FSE
BATTLE TRACK	BATTLE TRACK	TRACK EXMAT	A2C2 (RAVEN/CCA/CAS)
BLUE 1	PATROL MATRIX	TOC DATA BOARD	TDF FIRES
CPOF REPORTS	BLUE 1	CPOF REPORTS	UPDATE GRAPHICS
UPDATE COMBAT PWR	ROLLING BUB	CPOF UPDATE	TOC SHIFT CHANGE
TOC DATA BOARD	BLUFORCE TRACKER	CUA/SCUA	S2
ROLLING BUB	TRACK EXMAT	TOC SHIFT CHANGE	UAV OBSERVER
FORCE PRO STATUS	NET CALL	UPDATE GRAPHICS	ISR FOCUS
LOGSTAT	TOC SHIFT CHANGE	STORY BOARD	TOC SHIFT CHANGE
STAFF HUDDLE	OPSUM	SIGACT	UPDATE GRAPHICS
NET CALL	CONOP	VIP VISIT	RTO(S)
CMD GRP SYNC	SIGACT		PATROL TRACKER
LOGSYNC			DAILY TOC LOG
CPOF UPDATE			TOC SHIFT CHANGE
TGT MEETING			
AO ASSESSMENT			
CUA/SCUA			
PRODUCTS			
ROLLING BUB	STORY BOARD	DAILY OPN METRICS	
DAILY CUB	OPSUM	BLUE 1	
CUA/SCUA	SIGACT	BLUFORCE TRACKER	
CPOF UPDATE	TOC BOARDS		

### S3 Daily Tasks and Responsibilities

S3		AS3	FSO	MG	LNO
CALENDAR UPDATE	NET CALL	CALENDAR UPDATE	CALENDAR UPDATE	CALENDAR UPDATE	ISR MATRIX
FECC SYNC	CMD GRP SYNC	PATROL MATRIX	PATROL MATRIX	RANGE ALLOCATION	RAVEN/CCA/CAS REQUESTS
ISR/OPN SYNC	CPOF UPDATE	BLUE 1	TDF FIRES	TRAINING CONCEPT	CONOP
ISR MATRIX	TGT MEETING	OPNs CALENDAR	A2C2 (RAVEN/CCA/CAS)	TNG RISK ASSESSMENT	AMR
TOC DATA BOARD	AO ASSESSMENT	DAILY FRAGO	ISF MANAGEMENT	TNG QA/QC	OPSUM
PATROL MATRIX	ISF MTG	CREATE EXMAT	CCG MANAGEMENT	AMMO	BCT BRIEFS
DAILY FRAGO	CUA/SCUA	CONOP	UPDATE GRAPHICS	TNG TRACKER	SIGACT
A2C2 (RAVEN/CCA/CAS)	S3 SGM	OPSUM	ISF ACTIONS	SQDN TNG STATS	VIP
TDF FIRES	FORCE PROTECTION	BCT BRIEFS	ISF MTG	SPECIAL TNG	BCT TGT MTG
TRAINING CONCEPT	ENFORCE EXMAT	STAFF HUDDLE	TGT MEETING	AMR	BCT FP MTG
TNG RISK ASSESSMENT	TOC DATA BOARD	NET CALL	AO ASSESSMENT	NET CALL	ISR/OPN SYNC
SIGACT	TNG QA/QC	LOGSYNC	QADA SECURITY MTG	PRODUCTS	BCT BUB
VIP	VIP	CUA/SCUA	CPOF UPDATE	CONOP BRIEFS	OPN METRICS
TST	SIGACT	VIP BRIEFS	DAILY BUB	LOGSYNC	TOC BOARDS
CONOP	TOC SHIFT CHANGE	ISR FOCUS SLIDE	ISF MTG	TGT MEETING	ISF TRACKER
BCT BRIEFS	AO ASSESSMENT	CCG TRACKER	CUA/SCUA	A2C2 PLAN	OPNs TRACKER

### S2 DAILY TASKS & RESPONSIBILITIES

S2		AS2	NCO	ANALYSTS
PATROL DEBRIEFS	FUSION	TGT PKCT UPDATE	LINK DIAGRAM UPDATE	TGT PKCT UPDATE
GRIDSUM	AO ASSESSMENT	PATROL DEBRIEFS	GRIDSUM	LINK DIAGRAM UPDATE
UPDATE PIR	TGT MEETING	GRIDSUM	TOC DATA BOARD	TOC DATA BOARD
ISR/OPN SYNC	CUA/SCUA	ISR/OPN SYNC	OPSEC	UAV OBSERVER
CPOF REPORTS	NET CALL	CPOF REPORTS	ISOPREP	HUMINT COLLECTION
ISR FOCUS	DETAINEE REVIEW BOARD	TERP MANAGEMENT	UPDATE GRAPHICS	UPDATE GRAPHICS
HUMINT COLLECTION		DETAINEE MANAGEMENT	STAFF HUDDLE	MAP PRODUCTION
SOI NOTES		SIGACT	CUA/SCUA	CUA/SCUA
BCT BRIEFS		STORY BOARD	PRODUCTS	
SIGACT		TST	THREAT ASSESSMENT	DETAINEE TRACKER
VIP		OPSUM	REPORTS TRACKER	PIR TRACKER
TST		FUSION	DAILY BUB	CONOP BRIEFS
STORY BOARD			GRIDSUM	TGT MEETING
OPSUM			FUSION	CUA/SCUA
CONOP			TGT PACKET	VIP BRIEFS
				HVI LIST
				ATTACK TREND ANALYSIS
				LINK DIAGRAM
				AO ASSESSMENT
				TOC BOARDS
				SO/ENGAGEMENT NOTES



## ADMIN & LOGISTICS DAILY TASKS & RESPONSIBILITIES

S1	S4	SMO	MEDO	SQDN EN
CALENDAR UPDATE	CALENDAR UPDATE	UPDATE COMBAT PWR	CALENDAR UPDATE	CALENDAR UPDATE
PERSTAT	MONEY MANAGEMENT	MONEY MANAGEMENT	SAFETY UPDATE	FORCE PRO STATUS
SOLDIER MOVES	LOGSTAT	LOGSYNC	PATIENT TRACKER	EWI
PROMO BOARDS	COP TRACKER	BCT Logistics MTG	MEDPROS	LN CONTRACTORS
OER/NCORs	LOG COORDINATION	BCT MAINT MTG	STAFF HUDDLE	STAFF HUDDLE
AWARDS	FLIPL	CUA/SCUA	LOGSYNC	NET CALL
EML	LN CONTRACTORS		AO ASSESSMENT	LOGSYNC
MEDIA	STAFF HUDDLE		CUA/SCUA	BCT FP MTG
STAFF HUDDLE	NET CALL			TGT MEETING
LOGSYNC	LOGSYNC			AO ASSESSMENT
CUA/SCUA	CPOF UPDATE			CUA/SCUA
	TGT MEETING			
	AO ASSESSMENT			
	BCT Logistics MTG			
	BCT MAINT MTG			
	CUA/SCUA			

PRODUCTS		
OER/NCO TRACKER	BCT FP MTG	CPOF UPDATE
LOGSYNC	CONOP BRIEFS	CUA/SCUA
TOC BOARDS	CRITICAL SUPPLY TRACKER	

## FECC DAILY TASKS & RESPONSIBILITIES

FECCOIC	IO	S9	CAT-A	TPT
CALENDAR UPDATE	MONEY MANAGEMENT	PROJECT MANAGEMENT	PROJECT MANAGEMENT	SOI MANAGEMENT
TGT PKCT UPDATE	SOI MANAGEMENT	MONEY MANAGEMENT	SOI MANAGEMENT	DRUMBEAT
FECC SYNC	DRUMBEAT	LN CONTRACTORS	SOI ENGAGEMENTS	IO COUNTERFIRE
SOI ENGAGEMENTS	SOI ENGAGEMENTS	CONDOLENCE PAYMENTS	LN CONTRACTORS	AO ASSESSMENT
STORY BOARD	MEDIA	WALK-Ins	SHEIK MEETINGS	
OPSUM	LN CONTRACTORS	CPOF UPDATE	WALK-Ins	
CONOP	IO COUNTERFIRE	AO ASSESSMENT	CPOF UPDATE	
VIP	CONDOLENCE PAYMENTS		AO ASSESSMENT	
NAHIA MEETINGS	NAHIA MEETINGS			
STAFF HUDDLE	STAFF HUDDLE			
NET CALL	CPOF UPDATE			
AO ASSESSMENT	JD MEETING			
BCT TGT MTG	QADA COUNCIL			
CUA/SCUA	AO ASSESSMENT			
AO ASSESSMENT	CUA/SCUA			

PRODUCTS		
BCT NON-LETHAL	CPOF UPDATE	CONOP BRIEFS
TGT MEETING	AO ASSESSMENT	CUA/SCUA
TOC BOARDS	VIP BRIEFS	PROJECT TRACKER
TGT PACKET	USR	

## APPENDIX D

### ORAL HISTORY CONSENT AND AGREEMENT FORM

#### CONSENT AND USE AGREEMENT FOR ORAL HISTORY MATERIALS

You have the right to choose whether or not you will participate in this oral history interview, and once you begin you may cease participating at any time without penalty. The anticipated risk to you in participating is negligible and no direct personal benefit has been offered for your participation. If you have questions about this research study, please contact the student at \_\_\_\_\_ or Dr. Robert F. Baumann, Director of Graduate Degree Programs, at (913) 684-2742.

To: Director, Graduate Degree Programs  
Room 3517, Lewis & Clark Center  
U.S. Army Command and General Staff College

1. I, \_\_\_\_\_, participated in an oral history interview conducted by

Major Desmond V. Bailey, a graduate student in the Master of Military Art and Science

Degree Program, on the following date [s]: \_\_\_\_\_ concerning the

following topic: Enhancing Brigade Combat Team Adaptability.

2. I understand that the recording [s] and any transcript resulting from this oral history will belong to the U.S. Government to be used in any manner deemed in the best interests of the Command and General Staff College or the U.S. Army, in accordance with guidelines posted by the Director, Graduate Degree Programs and the Center for Military History. I also understand that subject to security classification restrictions I will be provided with a copy of the recording for my professional records. In addition, prior to the publication of any complete edited transcript of this oral history, I will be afforded an opportunity to verify its accuracy.

3. I hereby expressly and voluntarily relinquish all rights and interests in the recording [s] with the following caveat:

\_\_\_\_\_ None    \_\_\_\_\_ Other: \_\_\_\_\_  
\_\_\_\_\_

I understand that my participation in this oral history interview is voluntary and I may stop participating at any time without explanation or penalty. I understand that the tapes and transcripts resulting from this oral history may be subject to the Freedom of Information Act, and therefore, may be releasable to the public contrary to my wishes. I further understand that, within the limits of the law, the U.S. Army will attempt to honor the restrictions I have requested to be placed on these materials.

\_\_\_\_\_  
Name of Interviewee

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Accepted on Behalf of the Army by

\_\_\_\_\_  
Date

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